DOCUMENT RESUME

ED 326 232 IR 053 260

TITLE IFLA General Conference, 1989. Division of Bibliographic Control. Open Forum of the Division; Section on Cataloguing; Section on Bibliography; Section on Classification and Indexing. Booklet 40.

INSTITUTION International Federation of Library Associations, The Hague (Netherlands).

PUB DATE Aug 89

NOTE 188p.; Papers presented at the International Federation of Library Associations (IFLA) General Conference (55th, Paris, France, August 19-26, 1989). Booklet 40 papers are followed by English translations of three papers not given in English, plus seven additional papers.

PUB TYPE Speeches/Conference Papers (150) -- Multilingual/Bilingual Materials (171)

LANGUAGE French; English

EDRS PRICE MF01/PC08 Plus Postage.

DESCRIPTORS Bibliographic Utilities; *Cataloging; *Classification; Costs; Foreign Countries; *Indexing; *Information Retrieval; Library Associations; Online Catalogs; *Subject Index Terms; User Needs (Information)

IDENTIFIERS Dewey Decimal Classification

ABSTRACT

There are 16 papers in this collection from the Division of Bibliographic Control: (1) "Report from the Section on Cataloging" (Tom Delsey); (2) "Section on Bibliography Report" (B. C. Bloomfield); (3) "Report from the Section on Classification and Indexing" (Robert P. Holley); (4) "The Cost of Cataloging" (French and English versions; Genevieve Boisard); (5) "Cost Savings and Service Strategies in the British National Bibliographic Service" (Peter R. Lewis); (6) "Management and Use of Name Authority Files (Personal Names, Corporate Bodies, and Uniform Titles): Evaluation and Prospects" (French and English versions; Marcelle Beaudiquez and Francoise Bourdon); (7) "Authority Control and Muslim Personal Names" (Roderic Vassie); (8) "Experience of the Work on Authority Files in Socialist Countries Libraries (Survey)" (N. P. Igumnova); (9) "Designing Online Catalog Subject Access to Meet User Needs" (Marcia J. Bates); (10) "Subject Access and the Marketplace for Bibliographic Information in France" (French and English versions; Suzanne Jouguelet); (11) "Building on PRECIS: Strategies for Online Subject Access in the British Library" (Joyce Elaine Butcher); (12) "Translating Dewey in Italian" (Daniele Danesi); (13) "An Overview of the International Use of the Dewey Decimal Classification" (Russell Sweeney); (14) "The Use of the DDC (Dewey Decimal Classification) in the Arab World" (Mohammed M. Aman and Shawky Salem); (15) "International Aspects of DDC (Dewey Decimal Classification) 20" (Julianne Beall); and (16) "Dewey Decimal Classification, Edition 20: A Critical Review" (Paule Rolland-Thomas). (SD)

55e CONSEIL ET CONFÉRENCE GÉNÉRALE DE L'IFLA
PARIS, FRANCE
19-26 AOÛT 1989

55th IFLA COUNCIL AND GENERAL CONFERENCE
PARIS, FRANCE
19-26 AUGUST 1989

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
This document has been reproduced as received from the person or organization originating it.
Minor changes have been made to improve reproduction quality.
Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

ED326232

Brochure 40 / *Booklet 40*

DIVISION DU CONTRÔLE BIBLIOGRAPHIQUE
DIVISION OF BIBLIOGRAPHIC CONTROL

RÉUNION PUBLIQUE DE LA DIVISION
OPEN FORUM OF THE DIVISION

Session 91 — lundi 21 août / *Monday 21 August* — 10:00 - 12:00

Report from the Section on Cataloguing *(87-BIBCC-3-E)*	Tom DELSEY, Director, Acquisitions and Bibliographic Services Branch, National Library of Canada, Ottawa, Ontario, Canada
Section on Bibliography Report *(69-BIBCO-1-E)*	B.C. BLOOMFIELD, Director, Collection Development, Humanities and Social Sciences, The British Library, UK
Report from the Section on Classification and Indexing *(70-BIBCO-2-E)*	Robert P. HOLLEY, Associate Dean of Libraries, Wayne State University, Detroit, Michigan, USA

SECTION DE CATALOGAGE
SECTION ON CATALOGUING

Session 126 — mercredi 23 août / *Wednesday 23 August* — 09:00 - 11:30

Le Coût du catalogage : essai d'évaluation d'après quelques bibliothèques françaises *(40-CAT-2-F)*	Geneviève BOISARD, Directeur de la Bibliothèque Sainte-Geneviève, Paris, France
Cost savings and Service Strategies in The British National Bibliographic Service *(39-CAT-1-E)*	Peter R. LEWIS, Former Director General, Bibliographic Services, The British Library, London, UK

SECTION DE BIBLIOGRAPHIE
SECTION ON BIBLIOGRAPHY

Session 102 — mardi 22 août / *Tuesday 22 August* — 08:00 - 10:30

Gestion et utilisation des fichiers d'autorité auteurs (noms de personne, collectivités, titres uniformes) : bilan et perspectives *(104-BIBL-5-F)*	Marcelle BEAUDIQUEZ, Directeur du Centre de coordination bibliographique et technique de la Bibliothèque Nationale, Paris, France Françoise BOURDON, Conservateur au Centre de coordination bibliographique et technique de la Bibliothèque Nationale, Paris, France

IR053260

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

A.L. Van Wesemael

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

aic

J Jouve SYSTEMES D'INFORMATION

SECTION DE CLASSIFICATION ET INDEXATION
SECTION ON CLASSIFICATION AND INDEXING

Session 121 — mardi 22 août / *Tuesday 22 August* — 14:30 - 17:00

Designing Online Catalog Subject Access to meet User Needs *(37-CLASS-2-E)*	Marcia J. BATES, Associate Professor, Graduate School of Library and Information Science, Los Angeles, California, USA
L'Accès par sujets et le marché de l'information bibliographique en France *(36-CLASS-1-F)*	Suzanne JOUGUELET, Conservateur, Directeur du pôle documentaire, Bibliothèque municipale de Lyon, France
Building on PRECIS : Strategies for Online Subject Access in the British Library *(38-CLASS-3-E)*	Joyce Elaine BUTCHER, The British Library, London, UK Ross TROTTER, The British Library, London, UK

87-BIBCO-3-E

Report from the Section on Cataloguing

Tom DELSEY, *Director, Acquisitions and Bibliographic Services Branch, National Library of Canada, Ottawa, Ontario, Canada*

ABSTRACT

The report provides a brief update on work in progress under the sponsorship of the IFLA Section on Cataloguing, and a summary of initiatives the Section plans to undertake in the upcoming year.

This report is intended to provide a brief update on work in progress under the sponsorship of the IFLA Section on Cataloguing, and a summary of initiatives the Section plans to undertake in the coming year.

The report on the status of work in progress is current as of June 1989, and incorporates a schedule for a number of anticipated activities. An update on those activities and revised schedules will be presented at the Open Forum of the Division of Bibliographic Control, August 21, in Paris.

WORK IN PROGRESS

Much of the work in progress under the sponsorship of the Section on Cataloguing has evolved from the longstanding program for Universal Bibliographic Control and initiatives begun more than a decade ago to develop international standards and guidelines in support of that program. The development of the International Standard Bibliographic Descriptions (ISBDs) has been a keystone in that initiative, and continues to occupy a central position in the activities of the Section. Recent work on the development and review of the ISBDs has been focussed on the following :

ISBD(PM)

The final draft of the revised ISBD for Printed Music — ISBD(PM) — was completed by the Working Group charged with its review in September 1988, after consideration of comments received on the draft that had been circulated earlier that year for worldwide review. The revised text was subsequently vetted by the ISBD Review Committee, and after minor amendments were made, was forwarded for voting by the Standing Committee of the Section on Cataloguing. Voting was scheduled to be completed in August, and assuming an affirmative vote, it is expected that the revised text will be published by the end of the year.

ISBD(A)

A draft of the revised ISBD for Antiquarian Books — ISBD(A) — was circulated for worldwide review last summer with a closing date for comment set for December 1988. The Working Group charged with the review of the ISBD(A) prepared a final draft text earlier this year, and is expected to be submitted to the ISBD Review Committee in August. It is anticipated that the final text will be ready for voting by the Standing Committees of the sponsoring Sections in the fall, and that with an affirmative vote the revised text will be published early next year.

ISBD(CF)

The new ISBD for Computer Files — ISBD (CF) — was vetted by the ISBD Review Committee in the fall of 1988 and forwarded for voting by the Standing Committees of the sponsoring Section in February 1989. The text was formally approved by vote at the end of April and is expected to be published in August.

Parallel to the work on the ISBDs the Section has undertaken a number of projects over the past several years on the development of standards and guidelines for authorities. Recent activities in that area include the following :

UNIMARC/Authorities

The review period for worldwide comment on the draft UNIMARC/Authorities format ended in October 1988. Comments received as a result of the review have been studied by a sub-group of the Steering Committee that was established to oversee the development of the format, and a final text was prepared during the spring. It is expected that the text will be forwarded to the Standing Committees of the sponsoring Sections before the end of summer, and that the format will be published early next year.

Guidelines for Authority and Reference Entries (GARE)

Work is currently underway in the Section on Classification and Indexing to analyse requirements for subject authorities and to develop guidelines for the same within the framework set out in GARE. A parallel effort is underway within IAML to develop guidelines for music authorities.

In January 1989 the Section on Bibliography, with the assistance of the UBCIM Programme Officier, circulated a questionnaire to national libraries relating to their practices in the creation and dissemination of authority files. A parallel survey of authority files in the libraries of the Socialist countries was coordinated by the All-Union State Library of Foreign Literature in Moscow.

NEW INITIATIVES

Over the past year or two the focus of the Section on Cataloguing has begun to shift slightly from the ongoing development of standards and guidelines supporting the program for Universal Bibliographic Control to concerns relating to the implementation of that program in an environment that is impacted increasingly by innovations in technology, on the one hand, and economic restraint, on the other.

Last year in Sydney the Section made an initial attempt to lay open some of the issues arising from changes in the technological and economic environment for discussion within the IFLA forum. The Section's program in Sydney was centered on cooperative cataloguing, and through presentations, a panel discussion, and audience participation, attempted to focus on implementation issues related particularly to standardization and cost-benefit. This year in Paris the program session will pick up on the cost-benefit theme with presentations on cost studies carried out in France and a progress report on the British Library Cataloguing Action Plan, followed again by a panel discussion and audience participation.

The Section is also involved in the planning of a symposium to take place in conjunction with next year's IFLA Conference in Stockholm which will re-examine requirements and uses of bibliographic data in light of current technologies and explore alternatives to the existing modes and economics of bibliographic data creation.

Through open discussion of these topics the Section hopes to be able to focus on the key issues of relevance to the Section's program, and more generally, of relevance to its role in the UBC program, so as to identify those areas to which it can most productively direct its energies over the next few years in the hope of facilitating the "acclimatization" of the UBC program to a changing environment and ensuring its ongoing effectiveness.

69-BIBCO-1-E

Section on Bibliography Report

B.C. BLOOMFIELD, *Director, Collection Development, Humanities and Social Sciences, The British Library, UK*

The Section on Bibliography has 85 registered members according to the latest information from IFLA Headquarters and the problem for all sections, divisions and round tables is how to involve these registered members actively in the work of forwarding bibliographic activity. Some sections achieve this by means of *Newsletters* or regular correspondence ; others, including our Section have so far avoided this and have chosen to rely on reports in the *IFLA Journal* and regular reporting sessions and Open Forums at the annual general conferences. Since the Paris general conference may well be the best attended ever this report will perhaps reach a more extended audience.

Spring 1989 saw the nomination of a new set of members to the Standing Committee and we welcome those members and encourage them to participate actively in our work. Elections also are due in Paris for the officers of the Standing Committee and a new Chairman and Secretary will take over the running of affairs.

However the section's plans are still embodied in the *Medium Term Programme 1986-1991* (2nd edition, revised by Irwin Pizer, 1988) in which our programme is set out as follows :

The Section on Bibliography encourages bibliographic activities both in the field of theory and practice.

The Section plans to reach these goals by :

— establishing an adequate forum for the discussion of all questions concerning the theory of bibliography and

— establishing guidelines and recommendations and gathering data on the level of national bibliographic control in different countries in order to improve national bibliographic control and the international exchange of bibliographic information, taking into account the effect of new technologies.

Special attention will be given to countries developing their national bibliographic system and all questions of cooperation and coordination on the national and international level.

The MTP of the Section, in consultation with appropriate IFLA professional groups, includes the following, in order of priority :

1. improvement of national bibliographic control :
   - 1.1 improvement of national bibliography in developing countries (Africa, Asia and Oceania, Latin America and the Caribbean, etc.) ;
   - 1.2 improvement of retrospective bibliographic control ;
   - 1.3 improvement of the use of national bibliographic control as national input to international information systems, and vice versa ;
   - 1.4 improvement of interrelations between national bibliography and subject bibliographies (including bibliographic control of journal articles) ;
2. improvement of bibliographic control of publications of intergovernmental and international non-governmental organizations ;
3. the study of the effectiveness of bibliographic services in relationship to users' needs ;
4. the promotion of bibliographic knowledge ;
5. encouragement of studies in the history of bibliographies and bibliographers in order to solve problems in the future development of bibliographic work.

These aims are unexceptional but the plan does not spell out specific programmes by which these aims are to be achieved.

The Section on Bibliography is directed by a Standing Committee elected every two years from among the members, and the Standing Committee elects its own Chairman and Secretary. Naturally the responsibilities of members of the Standing Committee and particularly the officers are greater than the ordinary members of the Section and on them falls the main part of the burden in keeping the Section active and forwarding the programme.

The terms of reference of the Standing Committee are :

— to study all matters concerning the theory, reorganization and practice of bibliographic work with particular reference to the following aspects :

- the improvement of national bibliographies as the foundation of centralized cataloguing and international bibliographical data exchange ;
- comparative research directed towards the compatibility of national bibliographies ;
- the study of national programmes of bibliographic control within the Unesco General Information Programme.

During this past year it has not been possible for the Standing Committe to meet ; although a generous invitation from Mrs Igumnova to meet in Moscow was received it was not possible for the Chairman and Secretary to accept at that time. The members of the Standing Committe have therefore to keep in touch with papers and by correspondence.

The past year has seen major progress in only one field — clearing the ground for the work on authority files. This has been undertaken by our Secretary, Mlle Françoise Bourdon and Mme Marcelle Beaudiquez, with the advice and assistance of Mr Winston Roberts in the UBCIM Office. The proposal for this work was discussed at the General Conference in Sydney and approved by the Professional Board for funding. However since it affected such a large number of other professional groups in addition to the UBCIM Programme itself, clearing the ground and defining the proposal took much longer than is usual with section programmes. However a questionnaire to ascertain the present state of the art in major libraries in membership of IFLA was circulated and on the basis of the response a report was prepared for the General Conference here in Paris. On the basis of this report and the needs expressed in deliberations of the Standing Committee it is intended to formulate a programme of work to concentrate on the most needed topics relating to authority control.

There has been no progress on the question of an IFLA Prize for Bibliography, but the *Bibliography of IFA Conference Papers* has been continued under the auspices of IFLA HQ. The development of more systematic criteria for assessing automated data bases has also made no further progress and needs further attention. The results of the joint investigation with the Section on Official Publications into the bibliographic control of publications issued by international bodies has been completed and a report by Mlle Sylvie Jacque was presented to this General Conference in Paris.

The planning and presentation of interesting papers and sessions for the annual general conferences continues to be the Standing Committee's principal objective and this, with the procedures for refereeing and translating, continues to take much time.

The Standing Committee's priorities continue to be :

1. the planning of absorbing the interesting meetings and presentations for the annual general conferences of IFLA ;
2. preliminary discussion leading to a definition of terms of reference for a study of the criteria for judging the reliability, comprehensiveness and accuracy of machine readable data bases ;
3. consideration of the restrospective conversion of large library catalogues to machine readable form ; and
4. a programme for monitoring progress in current and retrospective national bibliography.

To this can now be added the programme of work on authority files in partial fulfilment of the third objective. But we have still not really addressed the fourth aim. However a new Chairman and members of the Standing Committee will now take over and their renewed energy and ideas will drive the Section's work forward. But they will need the help, support and advice of all members of the Section and members throughout the world. Please make this available for without that help we cannot promote the cause of bibliography within and without IFLA.

70-BIBCO-2-E

Report from the Section on Classification and Indexing

Robert P. HOLLEY, *Associate Dean of Libraries, Wayne State University, Detroit, Michigan, U.S.A.*

ABSTRACT

The Section on Classification and Indexing faces a transitional period because the founding members of the Standing Committee must leave after eight years of service. The new Standing Committee includes three continuing and seven new members. The completed Section project on classification in online systems has influenced the development of a draft USMARC format for classification. The Section Working Group on "Guidelines for Subject Authority Files" is reviewing a draft version of "Guidelines for Subject Authority and Reference Entries". Programs at IFLA Conferences and the annual "Newsletter" help publicize the importance of subject access to information. The Section can be proud of its accomplishments over the last four years.

The Section on Classification and Indexing faces a major transition. The founding members, including its two officers, must leave the Standing Committee after the maximum service of eight years. Since the 1981 Conference in Leipzig, nine members of the current Standing Committee have watched the Section revise its terms of reference, take on its first project, and work within IFLA to publicize the importance of subject access to information. I wish to thank the departing members. After nine years of working together, we have developed friendships which span the globe.

Though I personally find it difficult to leave the committee, change is good. I heartily welcome the seven new members and am happy for the continuity that the three continuing members provide. I am not worried about the Section's future. The new committee members will undoubtedly determine new directions

and find new projects. The three continuing members represent Portugal, the United Kingdom, and the United States. The seven new members were elected from Canada, France, the Federal Republic of Germany, Portugal, the USSR, and two from the United States. I am disappointed that the Standing Committee will not have any members from the Third World because I firmly support IFLA's commitment to improved library service in developing countries.

Membership in the Section remains constant at 65 with representation from around the world. I wish to thank the institutional and personal members for their support.

Nancy Williamson from the University of Toronto, Canada, continues to build upon her completed IFLA project. As reported last year at the Sydney IFLA Conference, she believes that it is possible to develop a MARC format for classification that can accommodate the Dewey Decimal Classification, the Library of Congress Classification, and probably the other major international classification schemes. In part because of her efforts, a draft USMARC format for classification is now under review within the United States. I am excited by this possibility and am looking forward to future developments.

The Section has also established a Working Group on "Guidelines for Subject Authority Files" under the direction of the Section's current Secretary, Barbara Kelm, from the Federal Republic of Germany. Its geographically diverse membership represents the major international subject access systems. The group will write a document to parallel the Section on Cataloguing's *Guidelines for Authority and Reference Entries*. While the guidelines may initially appear as a separate publication titled *Guidelines for Subject Authority and Reference Entries*, the ultimate goal is to integrate the guidelines for name and subject entries into one document. The North American members of the Working Group and of the Standing Committee met at the Library of Congress in Washington for a full day, 11 January, after the American Library Association Midwinter Conference. Barbara Kelm was also able to attend. The group had a productive day and left with assignments to write draft sections of the guidelines. As North American coordinator, I have collected the results and forwarded them to Barbara Kelm to be compiled into a draft document for discussion at this conference. The issues are complex because the guidelines must take into account divergent practices in indexing and subject analysis around the world. The Section has discovered that language poses a greater barrier to subject access than to description and name access.

The Section has put together another excellent program for its open meeting. Marcia Bates, Graduate School of Library and Information Sciences, UCLA, Los Angeles, USA, discusses *Designing online catalog subject access to meet user needs*. She believes that a superthesaurus can improve retrieval of existing subject data without radical change to subject access systems. Suzanne Jouguelet, Bibliothèque municipale de Lyon, Lyon, France, continues the Section's tradition of treating subject access in the host country with her *L'accès par sujets et le marché de l'information bibliographique en France*. To provide background, she gives a concise summary of competition and resource sharing in the French bibliographic market place. Finally, Joyce E. Butcher and Robert R. Trotter, the British Library, London, UK, deal with modifications to PRECIS for use in an online catalog.

With the generous help of OCLC/Forest Press, the Section is sponsoring an all-day workshop on the 20th edition of the Dewey Decimal Classification. The morning session focuses on theoretical issues including efforts to improve DDC as an international classification. The afternoon session is designed to provide practical experience in using the new edition.

The Section continues to publish an annual *Newsletter* for Section members, for the members of the Standing Committee, and for others interested in classification and indexing. I am pleased at the increased interest in the *Newsletter* over the past year. I received requests from several institutions and individuals to be put on its mailing list. I even responded to a claim for a lost issue. I have strongly encouraged the new officers of the Section to continue publishing the annual *Newsletter*.

As I review the past four years, I see the following accomplishments:

1. *Support for Research*. The Section has commissioned high quality papers for its open meetings at IFLA Conferences. Most have subsequently appeared as journal articles, most notably in *International Cataloguing and Bibliographic Control*. In my own reading, I have often come across citations to these articles.
2. *The Section Project*. As indicated earlier, the Section Project has led to a draft MARC format for classification.
3. *The Working Group*. The Working Group on "Guidelines for Subject Authority Files" has begun the task of international standard setting in the area of subject access.
4. *Sharing of Information*. The members of the Standing Committee have exchanged information about their differing national experiences and have gained greater awareness of developments within the international community. Most have then shared this broadened perspective with their colleagues back home. The Section *Newsletter* has also helped foster an international perspective on classification and indexing.
5. *Support for the Internationalization of Classification and Subject Headings*. The Section has attempted to increase sensitivity to the diversity in classification and indexing across geographic and language boundaries and to encourage the producers of subject access systems to recognize their international responsibilities. I especially commend OCLC/Forest Press for its efforts to serve all nations and cultures.

My own disappointment is that the Section has not been able to publish an international standard during its first nine years. The Standing Committee underestimated the difficulty of the task and the time required to achieve global consensus.

The future of the Section is now in the hands of others. I wish them continued success.

40-CAT-2-F

Le coût du catalogage : essai d'évaluation d'après quelques bibliothèques françaises.

Geneviève BOISARD, *Directeur de la Bibliothèque Sainte-Geneviève, Paris, France*

RESUME

A partir d'une enquête auprès d'une vingtaine de bibliothèques françaises on a essayé d'évaluer le coût d'une notice bibliographique. Que le travail soit manuel, sur micro-ordinateur ou informatisé, le temps nécessaire à la création d'une notice est fonction du type de bibliothèque. Les bibliothèques publiques consacrent moins de temps au catalogage que les bibliothèques universitaires, les agences bibliographiques nationales obligées à de nombreuses vérifications ont un temps voisin. Le coût de la notice dépend du niveau des catalogueurs, de l'organisation de la bibliothèque et du taux de récupération des notices sur des bases existantes. Le coût en personnel est beaucoup plus élevé que le coût informatique, si bien qu'il faut s'orienter vers la reprise des notices des agences bibliographiques nationales afin de rentabiliser au maximum les investissements faits.

INTRODUCTION

C'est à l'occasion du congrès 1989 de l'IFLA sur les bibliothèques et l'économie, que cette étude a été menée, mais l'enquête sur laquelle elle repose a été effectuée à une époque où les bibliothèques françaises, comme bien d'autres de par le monde, s'interrogent sur leurs coûts de fonctionnement et sur l'opportunité de l'automatisation comme moyen de réduire ces coûts ou tout au moins d'améliorer leurs performances tout en conservant un coût d'exploitation raisonnable.

Parmi les activités exercées par les professionnels de l'information le catalogage a longtemps été considéré comme une des plus nécessaires et l'une des plus techniques. C'était le seul moyen de faire connaître au lecteur les richesses documentaires de la bibliothèque et lui permettre d'accéder au document recherché. Il devait en outre permettre d'établir des bibliographies et d'éditer des catalogues importants. Traditionnellement cette technique occupait un temps important dans la formation professionnelle, elle a donné lieu à de nombreuses controverses nationales et à des conférences internationales. Elle a connu des experts et des théoriciens célèbres.

A l'époque où le catalogage était un art artisanal chaque bibliothèque avait souvent ses propres règles, tant pour le catalogage descriptif que pour le catalogue matières et l'important était de respecter les règles "maison" pour ne pas nuire à l'uniformité des fichiers. La nécessité d'établir des catalogues

collectifs a obligé à une certaine harmonisation et les règles ont elles-mêmes connu des refontes et des vérités successives.

Avec l'explosion documentaire et l'impossibilité générale de maîtriser la production mondiale est apparue la notion de contrôle bibliographique universel, fondée sur le partage du travail de recensement entre les pays producteurs d'information. Ce partage du travail, et sa conséquence, l'échange des données, ont comme corollaire la nécessité de s'entendre sur la forme de la description bibliographique, qui a abouti à la famille des ISBD.

L'idée de pouvoir récupérer et réutiliser le travail fait par d'autres a longtemps été plus virtuelle qu'inscrite dans les faits. Les progrès des techniques informatiques permettent maintenant ce qui n'était qu'une prémonition géniale.

Dans le catalogage manuel, artisanal, où chaque établissement cataloguait pour ses besoins propres, les investissements matériels étaient faibles, machines à écrire, fichiers, et grosso modo proportionnels aux nombres de notices à produire. Quant aux coûts de personnel, dont on verra plus loin qu'ils sont souvent considérables, ils paraissaient aller tellement de soi, qu'on ne cherchait pas vraiment à les mesurer. Ce n'est qu'à une époque récente, où tous les pays du monde ont connu des restrictions budgétaires et où les effectifs ont commencé à diminuer que des questions ont commencé à se poser. Dans les grandes bibliothèques anglo-saxonnes, à la Bibliothèque du Congrès et à la British Library des études de coût minutieuses ont été menées.

Traditionnellement en France le coût du personnel, payé par l'État, est occulté dans les bibliothèques publiques. A ma connaissance il a été calculé pour la première fois dans l'étude de Gérard THIRION.

De même une fausse conception du service public a souvent empêché d'évaluer ce coût. Il était admis que le prix à payer ne devait pas remettre en cause des services jugés indispensables et le personnel voyait d'un mauvais œil qu'on estimât le coût du travail fourni. Preuve d'une mauvaise conscience plus ou moins avouée.

Dans le catalogage automatisé les investissements sont énormes, tant pour le matériel informatique que pour les logiciels utilisés. On passe au stade industriel et pour rentabiliser les investissements il faut entièrement repenser les problèmes. Il faut impérativement réutiliser les notices informatiques produites par d'autres et donc uniformiser les règles suivies et les formats adoptés. La baisse des coûts de personnel doit compenser le coût informatique de la notice, qui, lui, est très visible. L'organisation de la bibliothèque elle-même s'en trouve affectée et tout doit concourir à un rendement optimum, qui n'est cependant atteint qu'après des tâtonnements et une certaine croissance. On assiste alors à une modification des compétences. Quand on se contente de récupérer des notices dans une base bibliographique il n'est point besoin de connaître en détail les règles de catalogage. La recherche dans les catalogues imprimés supposait connues les règles d'intercalation et de catalogage, la recherche en ligne ignore ces subtilités et les accès numériques, comme l'ISBN, quand il existe, sont de loin les plus fiables.

Le catalogage aujourd'hui injustement décrié tend à disparaître des formations professionnelles. Quand il subsiste, il devient l'affaire de spécialistes, qui traitent des documents rares, établissent les bibliographies nationales et doivent connaître à la fois les règles de catalogage et les formats.

Cependant il serait regrettable que la conscience des coûts du catalogage amène les agences bibliographiques nationales à trop sacrifier la qualité du catalogage alors que leur tâche essentielle est de fournir aux autres des notices de qualité réutilisables telles quelles. En effet, même si à l'intérieur d'une bibliothèque une notice succincte suffit la plupart du temps pour qu'un lecteur retrouve ce qu'il cherche, et d'ailleurs les OPAC prévoient généralement un affichage simplifié, de très gros catalogues collectifs exigent des notices précises et exactes pour que les bibliothèques participantes sachent à laquelle d'entre elles doit être rattachée leur localisation, faute de quoi on accumule les doubles, qu'il faut examiner un par un pour éliminer les ambiguïtés.

Le temps dont je disposais était trop limité pour que je puisse entreprendre une enquête de l'ampleur de celles qui ont été menées en Angleterre ou aux États-Unis. Un questionnaire assez succinct a été envoyé à une vingtaine de bibliothèques, diverses par la taille et le fonctionnement, l'échantillon choisi comprenait, outre de grandes bibliothèques automatisées comme la Bibliothèque nationale, des bibliothèques universitaires, des bibliothèques municipales et des bibliothèques centrales de prêt. Elles étaient automatisées suivant des systèmes différents, cataloguaient sur micro-ordinateurs, en général avec le logiciel Mobicat, ou travaillaient encore manuellement.

Les réponses les plus promptes sont arrivées des bibliothèques pratiquant le catalogage manuel.

Au contraire les bibliothèques automatisées ont été réticentes à répondre, en particulier celles qui travaillent sur de gros systèmes. En effet l'automatisation est récente en France et dans bien des cas on peut considérer que la période de rôdage n'est pas achevée, les coûts d'investissement n'ont pas encore produit tous les résultats attendus et la taille des réseaux n'est pas encore optimale. Il est possible aussi qu'on n'ait pas suffisamment pris en compte les réorganisations nécessaires.

En ce qui concerne le calcul des temps, deux études m'ont beaucoup aidée et servi de référence. Celle de Gérard THIRION à la bibliothèque universitaire de Nancy en 1976, celle d'Albert POIROT à la bibliothèque municipale classée de Dijon en 1988. Bien qu'élaborées à des époques et dans des contextes différents ces deux études avaient cherché à identifier le temps passé aux tâches exercées dans une bibliothèque. Les résultats auxquels ils étaient arrivés, comparables à ceux de mon enquête, m'ont montré que je ne m'étais pas trompée trop lourdement dans des calculs qui seront toujours contestables. En effet il n'est pas toujours facile pour les bibliothèques d'évaluer avec précision le temps passé aux différentes tâches de catalogage. Des enquêtes complémentaires ont permis de rectifier des évaluations trop élevées.

En ce qui concerne le coût informatique des notices je me suis beaucoup servie d'un document, élaboré en 1988 par Catherine LUPOVICI et Patrice PENNEL à la DBMIST (Direction des Bibliothèques, des Musées et de l'Information Scientifique et Technique), qui mettait en évidence les données entrant en ligne de compte, les différences de tarification dans les réseaux existants et l'influence prépondérante sur les coûts des performances des utilisateurs et de la façon d'utiliser le système.

De même, l'étude de Béatrice ESTEOULE sur le Bilan Mobicat, de juin 1988, m'a été très utile.

Par ailleurs, grâce à l'obligeance de Lucia RATHER à la Bibliothèque du Congrès et à celle d'Andy STEPHENS à la British Library, j'ai eu communication d'études de coûts qui ont été pour moi des références très précieuses.

Pour la Bibliothèque nationale, j'ai pu utiliser une étude très détaillée de Christian LERIN, chef du Service informatique, qui en octobre 1987 a mis en évidence les coûts informatiques de production des notices, prenant en compte les coûts d'investissement en matériel et logiciel, les coûts d'exploitation et de production. Les coûts relativement bas auxquels il est arrivé sont dûs pour une grande partie à la possibilité qu'a eue la Bibliothèque nationale de charger dans ses bases un nombre important de notices informatisées préexistantes.

En ce qui concerne le catalogage automatisé la constitution du catalogue fait appel à deux techniques, la récupération de notices toutes faites d'après une source extérieure ou le catalogage original. Tous les systèmes existants font appel à ces deux techniques quoique dans des proportions différentes.

Dans un assez grand nombre de cas les bibliothèques françaises ont choisi de cataloguer isolément sur leur système propre ; le recours à des sources extérieures est utilisé seulement pour la constitution initiale du fichier en remplaçant les notices manuelles existantes par les notices informatiques prises ailleurs. Le catalogage courant est destiné à se faire au fur et à mesure dans le système choisi.

C'est le cas dans les nombreuses bibliothèques municipales qui se sont informatisées récemment : Lyon, Caen, Marseille, Aix-en-Provence, etc.

Cela tient au fait que les grands réseaux de catalogage ne sont pas encore très répandus en France et on peut se demander si ce type de catalogage se maintiendra.

D'autres ont choisi le catalogage en réseau. C'est le cas des bibliothèques universitaires qui ont choisi d'adhérer au réseau Sibil-France. Dans ce cas l'apport initial est réduit aux notices produites par le réseau suisse du même nom en attendant des accords éventuels avec la Bibliothèque nationale. Chacune des bibliothèques participantes récupère ce qu'elle trouve et catalogue ce qu'elle ne trouve pas. Étant donné le relatif petit nombre des participants le taux de création reste encore élevé. Il varie suivant la nature du fonds des bibliothèques participantes. En général seul le catalogage courant est automatisé. Les notices du réseau n'atteignent pas la masse nécessaire à des conversions massives de catalogues rétrospectifs.

Enfin dans d'autres cas la priorité est donnée à la récupération de notices par le recours à des sources extérieures très volumineuses ou très pertinentes.

Les bibliothèques universitaires qui ont choisi de travailler sur l'OCLC ont privilégié cette base bibliographique très riche en fonction d'un taux de recouvrement élevé avec leurs catalogues. Centres d'acquisitions thématiques, leurs collections étrangères étaient très bien représentées dans l'OCLC. Leur récupération est donc importante et les créations se font pour les ouvrages français et la francisation des vedettes-matières.

A la Bibliothèque Sainte-Geneviève nous avons décidé de travailler sur la base BN-OPALE de la Bibliothèque nationale. Bien qu'incomparablement moins riche que l'OCLC cette base était particulièrement adaptée à notre fonds du fait d'un taux de recouvrement de plus de 90 %. En effet la Bibliothèque Sainte-Geneviève, encyclopédique et non spécialisée, reçoit de la Bibliothèque nationale le dépôt légal imprimeur et achète souvent les mêmes ouvrages étrangers que cette dernière.

LE COUT DU CATALOGAGE PROPREMENT DIT

Dans le coût du catalogage deux éléments principaux sont à prendre en compte. Le coût du personnel et le coût du matériel. Dans le cas de catalogage automatisé ce dernier comprend les machines, le logiciel et les coûts de télécommunication.

Coût du personnel

Les coûts du personnel sont les plus faciles à mettre en évidence. On a évalué le temps passé aux différentes opérations formant le catalogage : catalogage descriptif, rédaction de la notice, établissement des vedettes auteurs et matières, relectures et contrôles ; dactylographie et intercalations en cas de catalogage manuel ; administration de la base, gestion des fichiers d'autorité dans le cas de grands systèmes coopératifs.

Pour ce faire j'ai demandé aux bibliothèques d'évaluer en nombre de postes le temps passé par le personnel des différentes catégories aux tâches énumérées ci-dessus. Quand le catalogage n'occupe pas les agents à temps plein cette évaluation n'est pas très facile à faire et les calculs sont forcément approximatifs. Dans certains cas les évaluations ont été surestimées à l'évidence.

Sachant la durée du temps de travail pour chaque bibliothèque les équivalents-pleins temps ont été divisés par le nombre de notices produites pour trouver le temps passé à chaque opération.

Malgré les incertitudes, dues aux erreurs possibles de l'évaluation initiale, les chiffres trouvés semblent assez cohérents.

Quand il s'agit de création de notices le temps varie assez peu qu'il s'agisse d'un système manuel, semi-manuel ou automatisé. Le temps nécessaire à la rédaction de la notice et aux contrôles est du même ordre. Les variations importantes, plus du simple au double à l'intérieur d'un même groupe de bibliothèques (pratiquant le catalogage manuel, semi-automatisé, automatisé, en réseau) s'expliquent par le niveau du catalogage, super simplifié ou super sophistiqué, l'organisation de la chaîne de travail ou la plus ou moins grande motivation du personnel. Un autre facteur tient probablement au temps dont on dispose pour cette tâche. Il y a là un phénomène bien connu, qui se retrouve dans d'autres domaines d'activité. De même qu'on sait qu'une femme qui travaille à l'extérieur consacre infiniment moins de temps aux tâches ménagères que celle qui reste à la maison. De même les petites équipes très surchargées cataloguent plus vite que les équipes plus importantes dont c'est l'activité principale.

C'est ainsi qu'on catalogue plus vite en moyenne en bibliothèque centrale de prêt et en bibliothèque municipale qu'en bibliothèque universitaire, et le temps de catalogage relativement élevé à la Bibliothèque nationale, comme dans d'autres agences bibliographies nationales, s'explique par la spécialisation du personnel obligé à des vérifications nombreuses et enclin à perfectionner son travail. Outre la rédaction proprement dite de la notice signalétique un travail important est fait pour les recherches et l'établissement des notices d'autorité.

Si en moyenne, tous systèmes confondus, le catalogage demande 1 heure 41 minutes par notice, le temps passé varie beaucoup suivant le type de bibliothèque. Pour les bibliothèques qui pratiquent le catalogage manuel il peut passer de 36 minutes pour une bibliothèque centrale de prêt, qui catalogue beaucoup d'ouvrages simples et pour laquelle le catalogue n'est pas un instrument fondamental, à 4 heures pour une bibliothèque universitaire, qui pratique une indexation sophistiquée, catalogue beaucoup d'ouvrages difficiles et dont la productivité n'est pas très élevée.

Le catalogage sur micro-ordinateur, qui permet à partir d'un seul enregistrement d'obtenir le jeu de fiches complet, prêt à l'intercalation, fait baisser le temps moyen de catalogage. Les bibliothèques universitaires qui ont adopté le système Mobicat arrivent à un temps moyen de 1 heure 8 minutes par notice.

Dans ces deux cas, les temps indiqués comprennent le catalogage descriptif, l'indexation matières et l'intercalation.

Quand le catalogage est automatisé, l'intercalation disparaît, mais le catalogage en format est plus long et plus compliqué que la création d'une notice en ISBD. Pour les bibliothèques municipales qui font uniquement du catalogage original le temps passé varie de 44 minutes à 1 heure 13.

Pour les bibliothèques universitaires qui travaillent en réseau, tout dépend de l'organisation et du taux de création par rapport à la récupération de notices préexistantes.

Les deux bibliothèques universitaires qui ont accepté de répondre au questionnaire travaillent l'une sur le réseau Sibil, l'autre sur l'OCLC. Avec un taux de création de 60 à 70 % et de 40 et 30 % de récupération, elles arrivent toutes deux à des temps moyens très proches de 1 heure 30 et 1 heure 34 par notice.

La date relativement récente, 1984 et 1987, du début de leur participation au réseau permet d'espérer une amélioration de ces performances.

L'expérience de la Bibliothèque Sainte-Geneviève, qui récupère la quasi totalité de son catalogage, est encore trop récente (janvier 1989) pour qu'on puisse en tirer des conclusions. Le temps passé au terminal pour récupérer une notice est de 3 minutes 24 secondes, mais il faut ajouter à ces chiffres la durée nécessaire à l'indexation Dewey et le catalogage original des ouvrages non trouvés, qui n'a pas encore débuté.

Le cas des agences bibliographiques nationales, qui font du catalogage original de grande qualité, auquel s'ajoute le travail sur les fichiers d'autorité et la maintenance de la base, doit être examiné à part. A la Bibliothèque nationale, le temps moyen est de 2 heures 56 minutes par notice, ce temps est très voisin de celui de la Bibliothèque du Congrès, qui pour les mêmes opérations (catalogage descriptif, matières et autorités) s'élève à 2 heures 33 minutes.

Si on essaie d'étudier la répartition du temps passé à la création d'une notice, on constate que la part consacrée à la description de l'ouvrage croît d'autant plus que le système est automatisé (Tableau 1).

Le temps passé aux intercalations est compensé par celui consacré à la gestion de la base et aux autorités.

Le calcul du coût en personnel de la notice a été calculé en fonction du coût budgétaire de chaque poste au taux de 1989. La dépense annuelle moyenne pour chaque catégorie, traitement, plus indemnités, plus supplément familial de traitement, plus charges sociales a été évalué à :

— 198 567 F pour le personnel scientifique (conservateurs)
— 146 508 F pour le personnel technique (bibliothécaires-adjoints)
— 103 932 F pour le personnel de catégorie C (dactylos, magasiniers etc.)

Le coût d'une notice s'inscrit dans une fourchette allant de 63 à 441 F pour les bibliothèques cataloguant manuellement. La moyenne pour les bibliothèques de lecture publique est de 151 F et de 257 F pour les bibliothèques universitaires.

Les bibliothèques universitaires utilisant le système Mobicat sur micro ont un coût moyen de 125,35 F. Celles qui cataloguent en réseau automatisé ont une notice revenant à 165,25 F. Quant à la Bibliothèque nationale, la notice de la Bibliographie de France coûte, travail sur les autorités compris, 272,85 F, ce qui n'est pas très éloigné des coûts calculés à la Bibliothèque du Congrès ou à la British Library.

Coût de la notice (Tableau 2).

Le coût de la notice varie pour chaque établissement, non seulement en fonction du temps passé, mais encore en fonction de la répartition des catégories de personnel entrant en ligne de compte.

Ainsi, bien que demandant une demi-heure de moins (1 h 4' au lieu de 1 h 37') la notice de la Bibliothèque Sainte-Geneviève coûte plus cher en personnel (126,96 F au lieu de 116,40 F) que la notice de la bibliothèque municipale de Colmar, car la part du personnel scientifique y est beaucoup plus importante (25'

au lieu de 3') et celle du personnel de catégorie C très inférieure (2' 30" au lieu de 46' 15").

Il y a là deux conceptions différentes de l'importance du catalogage, sans doute défendables toutes deux, mais dont il faut mesurer les implications financières. La différence entre les deux bibliothèques tient à la place donnée au catalogue matière pour lequel le personnel scientifique consacre beaucoup de temps à Sainte-Geneviève et dont il assure l'intercalation, ce qui n'est pas le cas à Colmar.

Coût informatique

Relativement simple à calculer pour des bibliothèques travaillant de façon autonome sur leur propre système, le coût informatique des notices est difficile à cerner pour des bibliothèques travaillant en réseau. En effet les charges sont calculées de façon différente d'un système à l'autre et les comparaisons délicates.

Comme nous l'avons vu il faut distinguer les systèmes qui permettent une récupération maximum de ceux qui demandent un taux de création important, tout en sachant qu'au fur et à mesure que l'ampleur de la base bibliographique et le nombre des participants augmentent le taux de création tend à décroître.

Par ailleurs, comme le coût en personnel, le coût informatique dépend de l'efficacité des catalogueurs. Non seulement du nombre de notices produites à l'heure, mais aussi des capacités à utiliser le système d'une façon optimale, utilisation des heures creuses, utilisation coordonnée, peu de connexions et déconnexions, etc.

Enfin précisons que le coût informatique étudié est celui payé par la bibliothèque utilisatrice. Il peut être assez différent du coût réel, soit que le réseau se réserve une marge bénéficiaire pour son fonctionnement et ses investissements, soit qu'au contraire il pratique une politique tarifaire au-dessous des coûts réels.

Dans tous les cas il s'agit de coûts de fait, qui peuvent beaucoup varier d'une bibliothèque à l'autre pour le même système, et non de coûts théoriques.

Les seules données sûres dont nous disposons proviennent de deux études faites, l'une pour la Bibliothèque nationale, l'autre par Béatrice ESTEOULE, de la Direction des bibliothèques (DBMIST), faisant le bilan de l'opération Mobicat.

A la Bibliothèque nationale, l'étude de Christian LERIN, d'octobre 1987, a pris en compte les coûts d'investissement, matériel, logiciel, études et les coûts d'exploitation. Elle a conclu à un coût de :

25 F par notice pour les périodiques CNEPS
33,42 F par notice pour les phonogrammes (base LEDA)
63 F par notice pour les monographies (base BN-OPALE)

En juin 1988, Béatrice ESTEOULE a évalué le coût technique des 80.000 notices produites par l'opération Mobicat. Ce système de catalogage en local a doté les bibliothèques universitaires de micros équipés d'un logiciel de catalogage produisant des fiches bristol prêtes à l'intercalation et des disquettes permettant un chargement ultérieur.

Si le coût "technique" est de 4.835.200 F pour 80.000 notices, cela remet le coût à 60,44 F la notice, le coût informatique local varie de 8,15 F à 43,60 F suivant le rythme de travail pratiqué.

Dans les réseaux, la tarification peut être faite en tenant compte de la consommation réelle des ressources informatiques, mais le plus souvent il s'agit d'une tarification forfaitaire, qui puisse permettre à un utilisateur potentiel d'évaluer le coût à payer pour une année.

Tableau 1

	Catalogage		Autorité	Intercalation
	descriptif	matière		
Système manuel	de 25 à 29%	14,5 à 22%	0	20 à 30%
Semi-automatisé (Mobicat)	de 47 à 65%	19 à 28%		16 à 25%
Automatisé B.N. Bgf	72%	13%	15%	0

Tableau 2

	Système manuel	sur micro	automatisé	en réseau
Lecture publique	151 F		76,30 F	
B.U.	257 F	125,35 F		165,25 F
B.N. Bibliog. de France			272,85 F	

Même ainsi il est souvent difficile de prévoir, car pour la mise en place d'un système de catalogage automatisé il y aura une phase plus ou moins longue de mise en place, formation, rôdage et montée en charge, avant que le système ne soit pleinement opérationnel. Peu de bibliothèques françaises sont vraiment arrivées à ce stade.

Les tarifications des réseaux de catalogage sont établies suivant deux systèmes principaux.

— *Forfait annuel par poste de travail*

C'est le cas du réseau Sibil-France, qui demande aux bibliothèques participantes un forfait de 15.000 F par an et par terminal. De même la Bibliothèque nationale demande à la Bibliothèque Sainte-Geneviève 1 000 F par mois et par terminal.

Il va de soi que dans ce cas les bibliothèques doivent faire un réel effort d'organisation et centraliser le catalogage pour utiliser à plein les terminaux si elles veulent arriver au moindre coût. Les frais de télécommunications sont à la charge des bibliothèques.

A l'heure actuelle, coût informatique, plus coût télécommunication reviennent à 1,20 F par notice à la Bibliothèque Sainte-Geneviève. A la Bibliothèque universitaire de Montpellier-Sciences, le coût informatique peut être évalué à 5,80 F par notice.

— *Facturation détaillée au produit*

C'est le cas de l'OCLC qui facture la première mise à jour (c'est-à-dire la localisation d'une notice), les produits en différé, les statistiques et crédite la bibliothèque participante pour toute nouvelle notice créée.

Pour la France, les tarifs actuellement pratiqués par l'OCLC sont de 12,60 F pour toute notice localisée et 2,50 F de crédit pour toute notice créée, les coûts informatiques locaux plus télécommunication se situent actuellement entre 24 et 32 F.

CONCLUSION

Je n'espérais pas en commençant cette étude arriver à chiffrer avec précision le coût d'une notice produite. Seuls les gros systèmes maîtrisant complètement leurs coûts y sont arrivés. Même si les chiffres annoncés sont approximatifs, il apparaît clairement que dans le coût d'une notice la part des frais de personnel est considérable par rapport aux coûts informatiques. Nous avons vu que grâce à l'automatisation certains coûts de personnel disparaissaient, tels que le report des vedettes secondaires ou l'intercalation. D'autres sont apparus comme ceux de la gestion de la base ou celle des fichiers d'autorité. Les systèmes qui ne les avaient pas pris en compte au départ en ont durement ressenti les conséquences. Quoiqu'il en soit il apparaît que le coût de création d'une notice est suffisamment élevé pour que les duplications soient soigneusement évitées. La récupération dans la base source de qualité maximale, celle de l'agence bibliographique nationale quand elle existe, doit devenir la règle.

Des économies substantielles peuvent être faites par ce moyen. Cependant, en France tout au moins, où le personnel des bibliothèques publiques est payé par l'État ou la communauté locale, ces économies ne sont pas perceptibles dans le budget de l'établissement. Par contre les coûts informatiques sont imputés sur ces budgets. Il importe que les autorités de tutelle aident les bibliothèques pour que l'informatisation n'aboutisse pas simplement à un transfert des coûts à la charge des bibliothèques.

Aujourd'hui nous n'avons pas encore complètement touché les bénéfices permis par l'échange des données informatisées. Il nous faut encore faire évoluer les mentalités et faire avancer les techniques nouvelles. Nous devons également promouvoir le format UNIMARC et travailler aux systèmes d'interconnexion de réseaux. Ainsi pourrons-nous, en partageant le travail, avoir des catalogues de meilleure qualité à des coûts acceptables avec des possibilités de recherche de l'information inconnues auparavant.

Bibliographie

ESTEOULE, Béatrice. — *Bilan Mobicat*. — Paris : DBMIST, Bureau de la modernisation des bibliothèques, juin 1988. (non publié).

LERIN, Christian. — *Les coûts informatiques de production de notices*. — Paris : Bibliothèque nationale, Service informatique et organisation, octobre 1987. (non publié).

LUPOVICI, Catherine et PENNEL, Patrice. — *Réponse aux questions posées à la DBMIST [sur le coût des notices] lors de la réunion des directeurs de bibliothèques universitaires le 9 décembre 1987*. — Paris : DBMIST, 1988. (non publié).

POIROT, Albert. — *Le circuit du livre : Tableau pour la section d'étude et la section lecture publique*. — Dijon : Bibliothèque municipale, novembre 1988. (non publié).

THIRION, Gérard. — "Situation des bibliothèques françaises" in : *Bulletin d'informations — Association des bibliothécaires français*, no 98, 1er trimestre 1976, p. 7-38.

39-CAT-1-E

Cost savings and service strategies in The British National Bibliographic Service

Peter R. LEWIS, *Former Director General Bibliographic Services, The British Library, London, UK*

ABSTRACT

The British Library launched in 1986 a "Catalogue Action Plan" to deal with the problems arising from the long-term prospect of declining financial and manpower resources, the absence of growth in the market for its services, an unacceptably large backlog of uncatalogued materials, and a steadily increasing annual output of British publications to be catalogued.

The initial phase of the Plan was designed to contain staff costs by reduction and simplification in data content in BNBMARC and other British Library records, predicating their future use primarily in an online (OPAC) environment. It has had significant success for the British Library's aims in the first full year of implementation, but it has raised questions of the cost-benefit in centralised cataloguing services for the library community as a whole, in respect both of the costs and sizing of OPAC systems in local user libraries and of the necessity of sustaining indefinitely the high cost of adherence to international bibliographic and format standards established in the era before the OPAC, the CD-ROM and OSI had changed the technology of bibliographic information exchange.

More than 80 000 bibliographic records created by the British Library from the books and serials acquired through legal deposit were published in the *British National Bibliography* and added to the BNB MARC database in 1988, to be made available to the library community online and on tape through BLAISE-LINE and the BLAISE Record Supply Service, by the UK National Bibliographic Service.

The BNB MARC records conform in content and format with all the standards promulgated by the IFLA Universal Bibliographic Control (UBC) programme ; and are designed to support book selection and acquisition, information retrieval, cataloguing and other technical processes in all kinds of libraries. To be effective and efficient for these purposes the records must have the three qualities of accuracy, consistency and timeliness ; and the results of recent market research in the UK clearly showed that the most valued of these three qualities was timeliness, which is defined as the availability of the record at the moment when its use is most cost-effective for the user.

But since 1974, when the British Library took over responsibility for the National Bibliographic Service, there has been an increase of 84 % in the annual total of new titles published in the UK ; leading in the 1980s alone to a growth in the annual bibliographic processing requirement of 43 %. In spite of vigorous action and investment in record creation throughout the first half of the decade to improve the timeliness of the service, it became clear in 1986 that all the reductions achieved in the unit costs of cataloguing had not been sufficient even to keep productivity abreast of the apparently unstoppable increase in UK publishers' output. This output was already running at around 50,000 processible titles a year in 1986 ; projections made at that time by the book trade itself forecast a rise to 90,000 new titles a year by the mid-1990s, and this forecast was still proving true at the end of 1988, when the total had climbed to 63,000.

By 1986 the backlog of unprocessed items from previous years had grown to 36,000 — nearly three times as many as at the start of the decade.

By 1986, too, increasing financial constraints in the public sector had reached a level at which the British Library could not contemplate the addition of more cataloguing and processing staff, or the diversion of further resources in any other way to

meet the continually growing problems. In addition, the same kinds of constraints were reducing in real terms the acquisitions budgets of a large majority of the UK customers of the National Bibliographic Service, and so reducing the demand for BNB MARC records for their own cataloguing purposes. This reduction in turn reduced the revenue from sales of bibliographic records on which the Library has increasingly to rely to make good the shortfalls in its government funding.

At any given level of content and structure of bibliographic records, the more books are published the more must be spent on creating and processing matching records ; but the smaller is the proportion of what is available in books and matching MARC records that the libraries can buy. This downward market vortex is a factor in the situation in which the National Bibliographic Service finds itself today.

The catalogue Action Plan

The British Library has always had a high degree of diversification of cataloguing activity, and a number of the other London-based departments had their own problems of enlarged cataloguing requirements and reduced resource expectations, some of them with backlogs of even greater size than that of the National Bibliographic Service.

So, in late 1986 the British Library set up under my chairmanship a Bibliographic & Cataloguing Standards Committee to tackle the whole problem on a Library-wide basis ; and in 1987 the Committee established a Catalogue Action Plan to enable its estimated net resources to be reconciled with its projections of resource requirements in record creation and bibliographic processing in the foreseeable future, both for its own catalogue purposes and for the support by the National Bibliographic Service of the library community as a whole.

The two principal aims of the Plan were :

1. The further reduction of costs in cataloguing and bibliographic processing in order to free resource for the elimination of backlogs and the timely cataloguing of current intakes. In the case of the National Bibliographic Service, the target was set at 50 % reduction on 1986/7 costs.
2. The achievement of sufficient compatibility of standards of content and form in bibliographic records to meet the needs of a Library-wide interactive catalogue (OPAC) system, to be operational in the new London building at St Pancras in the early 1990s, alongside those of an expanded National Bibliographic Service.

The "Currency with Coverage" consultation paper

Phase 1 of the Catalogue Action Plan was focused on cost reduction in the manpower-intensive aspects of record creation through the elimination of duplicated and redundant information in records and the consequent reduction in decision-making by cataloguers. The adoption of Phase 1 by other departments of the British Library commenced in the latter half of 1987, but the examination and resolution of problems raised in responses to the Library's July 1987 consultation paper, *Currency with Coverage*, delayed its implementation (in a form modified by these responses) in the National Bibliographic Service until January 1988.

"Level 1" bibliographic records

One of the two main action points of Phase 1 was the reduction of the content of a targeted 50 % of records created for British books to "Level 1" of the *Anglo-American Cataloguing Rules, 2nd edition (AACR2)*, affecting principally categories of books known to be not fully catalogued in the majority of libraries using the National Bibliographic Service, and omitting those elements of the entry not needed for retrieval in a developed online public access catalogue (OPAC).

We took this particular course as a result of our experience in drawing up a specification for the machine readable conversion of the great *British Library Catalogue*, with its 6 million short entries in 360 published volumes, its unmatchable longevity, its non-unitised, non-ISBD structure, and its non-AACR2 headings.

There was never a practical possibility of funding the editorial work necessary, before or after conversion, to bring so vast a file into full conformity with MARC ; and the conversion specification and to be limited to the presentation of existing records on screen with an online access environment — whether on BLAISE-LINE or on CD-ROM — and without elaborate field and subfield demarcation or any duplication of information, since the computer can search in all parts of the record whether coded or *en clair*.

In a machine-readable BLC record there are, in fact, only four MARC-compatible coded fields ; and it has now been demonstrated on BLAISE-LINE that such a record responds equally effectively with the full BNB MARC record to searching with a single retrieval software.

Library of Congress Subject Data

The second main action point of Phase 1 was discontinuance in the creation by the British Library of Library of Congress (LC) class numbers and of Library of Congress subject headings (LCSH). These data used to be provided in addition to the Dewey Decimal classification (DDC) and the British Library's own PRECIS subject headings on all National Bibliographic Service records, but are not needed by the British Library for its own cataloguers and are not used by the large majority of external customers of the service in UK for their own cataloguing purposes. The cessation was expected to have progressive effects, leading to the loss of LC class numbers and LCSH in 25 % of records in the first year, and more in subsequent years.

In the event, 35 % of BNBMARC records were issued in 1988/89 without LC subject data, and the run-down in the next two or three years is likely to be faster than at first estimated.

Performance targets and achievements 1988/89

At the end of March 1989 we had completed one full year of implementation of the first phase of the Catalogue Action Plan and were able to compare the principal indicators of performance within the British Library affecting the National Bibliographic Service, in the financial year 1988/89 with those of our performance in 1987/88 (the last year before the Action Plan was put into effect in British Library Bibliographic Services) and with the targets set by the Action Plan for the year.

The statistics showed that there had been a further increase of nearly 4 % in publishers' output, which confirms once again the reality of the trend with which the Catalogue Action Plan has mainly to deal. This increase in cataloguing requirement was met in the Library by a rise in the total of all the records released, and a better that 4 % increase on the 1987/88 total output of BNB MARC records. It was the greatest improvement in performance within a single year we have ever made, and it could not have been achieved without the Catalogue Action Plan. However, the statistics also showed that this was still not enough to achieve the full targets set by the Plan, so there is still a need for intensifying the squeeze in future years.

In fact, a large part of the shortfall in reaching targets was due to reduced inputs and outputs in the Cataloguing-in-Publication (CIP) programme -- that is, to a major operational activity that takes place before the books to be catalogued are published ; and in respect of the legal deposit material itself, the Library did much better than merely keeping up with the publishing inputs. The savings in effort made between them by the introduction of "Level 1" cataloguing and the reduced level of CIP activity enabled a substantial attack to be continued on material awaiting cataloguing from previous years and, as a result, we ended the year with only half the backlog with which we began it.

As for cost reduction, figures of cataloguing costs for the full year 1988/89 were not available at the time when this paper was prepared. However, provisional figures for the first quarter (April-June) 1988/89 already showed a 34 % reduction on the previous year's unit cost of record creation, and there seems no reason why this level of reduced cost should not be sustained -- and indeed, improved upon -- over the year as a whole, and in future years.

The principal measure of the effectiveness of the UKMARC records in the National Bibliographic Service is the Currency Survey carried out monthly by the Centre for Bibliographic Management at the University of Bath. Using random sampling methods, this calculates the percentage rate of success (the "Hit Rate") of cataloguers searching the database on a given day each month for records matching actual new items for cataloguing in hand.

We have tried every possible way to get a significant upward movement of the "Hit Rate" in the eight years since it was first measured, but with no statistically significant success ; and it was therefore with great satisfaction that we learned from The Centre for Bibliographic Management that the "Hit Rate" in the first 13 months since Phase 1 of the Action Plan was implemented, had made a very substantial overall gain of 13 percentage points. For public libraries it was 72 %, compared with 62 % in

the 12 months before February 1988 ; for academic libraries it was an even greater improvement at 78 %, compared with an earlier 63 % ; and the combined total had moved from 62 % to 75 % in those same 13 months.

This is by far the largest gain in timeliness since 1980 when the "Hit Rate" was first measured. The upward movement began at exactly the same time as the Catalogue Action Plan was first implemented ; and it is not only the largest but also the first statistically significant gain there has been in the 8 years or so of the monthly Currency Survey — and a dramatic indicator that well chosen cost reduction programmes can have very beneficial effects on the achievement of service objectives.

Phase 2 of the Catalogue Action Plan

The second phase of the Action Plan is concerned with the reduction of other costs than those of record creation (cataloguing) in the production, processing and distribution of bibliographic records and their use in the Library and by the Library's external users. These are principally the costs of data processing, database management and maintenance and networking operations ; and necessary developments in these have been taken aboard in both the Library's Automation Strategy and the second strategic plan published in April 1989.

So far as the National Bibliographic Service is concerned, the principal Phase 2 requirements already in course of funding, as resources permit, are systems support for direct online data entry in the cataloguing process ; and main-frame developments, allowing fully interactive online authority-file handling and providing facilities for cost-effective derived and shared cataloguing, within the BLAISE-LINE environment. It is the savings from derived and, especially, shared cataloguing that we shall be looking for : the ability of cataloguers to enter data directly into the database is a prerequisite of cost-benefit in making use of other agencies' cataloguing, but not in itself a means of any significant cost saving.

Derived Cataloguing and Shared Cataloguing

Adapting records created and published by other bibliographic agencies (derived cataloguing) principally benefits the cataloguing of foreign acquisitions in other departments of the Library, and does not provide much immediate cost-benefit in cataloguing UK publications : though use is likely to be made, for adding LC Subject Data to BNBMARC records, of the LCMARC "Books All" records which we already make available in UKMARC-converted form through BLAISE to other libraries ; and use will also be made in Phase 2 of records for British books created elsewhere in the British Library, to avoid duplication of effort.

On the other hand, co-operation between cataloguing libraries to share the task of creating records for items which they all acquire (shared cataloguing) has unrealised potential in the UK, where there are six libraries entitled to receive all the output of British publishers. An important consequence of the *Currency with Coverage* debates of 1987 has been the coming together of all six legal deposit libraries of the British Isles to set up a shared cataloguing programme, initially for the UK deposit material and extending eventually to other fields of overlapping acquisition. A pilot project is being planned to commence in the second half of 1989.

Public and professional reaction to the Catalogue Action Plan

Both aspects of Phase 1 of the Catalogue Action Plan aroused some professional anxiety in our library community at large. Some of the research libraries saw them as a dilution of the values of bibliographic scholarship and, unappeased by the position of the British Library as the foremost research library that AACR "Level 1" was perfectly adequate for its own catalogues in those areas to which it was to be applied, they took their argument to the correspondence columns of *The Times* where for several days — and for the first time in its 200 - years history, no doubt — the larger issues of national cataloguing policy held pride of place as a topic of public debate in one of the great newspapers of the world.

A number of university libraries anticipated adverse effects on their processing costs on account of the run-down of LC subject data in BNB MARC records : these included some of our major research libraries, and the British Library has undertaken to explore at least the partial restoration of the LC subject data through the development of derived and shared cataloguing capabilities in Phase 2 of the Catalogue Action Plan, though not accepting a commitment to resume creation of them within the British Library itself.

There were different objections from some of the public libraries and bibliographic utilities who are the most numerous users of the UK National Bibliographic Service ; and, although the debate in *The Times* on scholarly values was, in fact, triggered by a letter from a public librarian who was also instrumental in getting questions asked in Parliament about the size of the backlog and related matters, their main concern was the adequacy of the AACR "Level 1" record in the OPAC environment.

The consultative process did indeed show us that many of the OPACs in our customer libraries were underfunded and undersized ; and their ability to retrieve on the whole record had frequently been "traded off" for other facilities such as increased file capacity, so that in some instances, for example, keyword searching could be carried out only in the title area. In our final dispositions as a result of the consultative process[2], some of the elements proposed for omission were for this reason put back into the "Level 1" records (e.g. "other title information" when this contains useful search terms).

In general, the top management of the libraries were quickly convinced of the cost-benefit advantages of what the British Library was proposing ; and the principle concern expressed by the Library & Information Science Council (LISC) — the body which advises the Minister of Arts and Libraries — was whether the Catalogue Action Plan went far enough to ensure effective continuance of the National Bibliographic Service.

But for the professional librarians the Catalogue Action Plan raised larger questions than whether the British Library was perhaps only seeking to pay for its cataloguing by passing an unreasonably large part of the cost on to the rest of the library community. Since its foundation as the British National Bibliography Ltd in 1950, the National Bibliographic Service had been seen as the institution which enabled every other library to make economies in its cataloguing with impunity, by not making any economies in its own ; and the threatened withdrawal, as some librarians saw it, of this altruistic function fuelled a much wider discussion of the place and role, not only of the National Bibliographic Service, but of bibliographic and catalogue records and standards generally in a world of "tradeable" bibliographic information, of OPACs, Open Systems Interconnection (OSI) and Compact Disc Read Only Memory (CD-ROM) systems in which the stable verities of the MARC format, the *Anglo-American Cataloguing Rules*, the UBC standards and the International MARC Network Committee seem likely to have less and less value, even if libraries can afford the cost of meeting their requirements.

Commercial library suppliers as well as "not for profit" utilities also have a stake in the disposition of bibliographic services for the library community. There has been much growth in this area in the UK, stimulated partly by the trade's efforts to "wire up" the bookshops for effective telecommunication links between customer and supplier, and partly by the British Library's expansion of its Cataloguing-in-Publication programme on the premise that the domestic and overseas library markets for British books are virtually identical with the markets for BNB MARC records and services. Both the complexity of the problems and the size of the markets for English language publications which are at stake have brought the librarians and the trade closely together with the British Library to find solutions of their own to the longer-range trends which the Cataloguing Action Plan makes a first serious attempt to grapple with.

A seminar organised by the British National Bibliography Research Fund in November 1987 brought more than 40 leading representatives of the library, publishing and book trade worlds together, with the aim "to identify the user's real requirements for bibliographic records, particularly as regards subject content and access".

This discussion was concerned principally with the contents of records, and the agencies through which these contents could be quality controlled on the way between document publishers and document users ; and among the new solutions to the old but growing problems of current book information was the development by publishers of their own databases as components of the information network.

At a later Seminar on the Future of a National Database, organised jointly by the MARC Users Group and the Library Association, there was near consensus for a *Final Statement* which proposed that

> The national bibliographic effort exists on two levels :
> a. the creation of the national archival record for which

the focus and responsibility lies with the British Library, as advised by the Library community ;

b. the development of a network of databases from which users can be satisfied for various functions, the coordination of which may lie with the British Library but the responsibility for which should be more widely shared.

As the Catalogue Action Plan rolls on, the debate continues.

Conclusions and future prospects

In the short term, the Cataloguing Action Plan has enabled the National Bibliographic Service to maintain essential services and standards, and at a critical time to bring down its costs. Equally important, the measures taken have led to a marked improvement in meeting the needs of the library community, in respect of the one quality (timeliness) which is most valued.

Meanwhile, both the publishing trend and the financial climate show every sign of further tightening, rather than ever slackening, their grip on the British Library's situation ; and the Library is already planning for further levels of cost reduction — beyond what can be achieved by phase 2 of the Plan — by means of large-scale centralisation, and a major relocation of record creation to a site less costly in overheads than central London.

In the longer term, the National Bibliographic Service has to take account of the concerns on which the Plan has stimulated new thought among the user community, and possibly even to find a new role for itself if, as these recent discussions in the UK suggest, publishing, computing and telecommunicational developments are leading us towards an operational environment in which services developed so effectively throughout the last half of the 20th century are ceasing to be the most cost-effective way of meeting library needs in the 21st century.

REFERENCES

1. *Currency with Coverage : the future development of the National Bibliographic Service*. London : British Library Bibliographic Services, July 1987. 4 p. (Consultative paper).
2. "Currency with coverage [final plans]." *British Library Bibliographic Services Newsletter* no. 44 October 1987 pp. 1-3.

104-BIBL-5-F

Gestion et utilisation des fichiers d'autorité auteurs (noms de personne, collectivités, titres uniformes) : bilan et perspectives

Marcelle BEAUDIQUEZ, *Conservateur en chef, Directeur du Centre de coordination bibliographique et technique de la Bibliothèque nationale, Paris, France*

Françoise BOURDON, *Conservateur au Centre de coordination bibliographique et technique de la Bibliothèque nationale, Responsable du Fichier d'autorité des noms de personne, Paris, France*

RESUME

A partir des résultats d'une enquête lancée avec l'aide de l'UBCIM Programme, les auteurs analysent le contenu, l'utilisation et la diffusion des fichiers d'autorité liés aux bibliographies nationales automatisées ainsi que leur conformité aux instruments de travail internationaux existants (en particulier les listes et recommandations IFLA). Ils s'inquiètent des échanges actuellement peu satisfaisants de fichiers d'autorité dont les contenus sont identiques.

Ils proposent aux agences bibliographiques nationales d'assumer les missions définies par l'Unesco dans ce domaine dès 1979, c'est-à-dire la gestion d'un fichier d'autorité national et identifient un certain nombre de travaux normatifs à mener à bien au sein de l'IFLA pour arriver enfin à une collaboration internationale satisfaisante.

1. QUELQUES POINTS D'HISTOIRE

1.1. Les précédentes études

Voici 15 ans, notre collègue Dorothy Anderson dans l'un des textes de base du contrôle bibliographique universel, inscrivait parmi les responsabilités d'une agence bibliographique nationale, "l'établissement de la forme d'autorité des noms pour les auteurs nationaux, à la fois noms de personne et collectivités, et de listes d'autorité pour les auteurs nationaux, noms de personne et collectivités"[1].

Les recommandations 13 et 15 du Congrès de Paris de 1977 sur les bibliographies nationales, affirment également que l'agence bibliographique nationale "devrait tenir à jour des listes d'entrées autorisées pour les auteurs nationaux (personnes physiques et morales) et les titres uniformes, suivant les directives internationales" et qu'"il faudrait entreprendre des projets particuliers pour promouvoir des normes et directives bibliographiques internationales en matière de contrôle de vedettes, valables à la fois pour les systèmes manuels et pour les systèmes mécanisés..."[2]

Lors du Congrès de l'IFLA à Bruxelles, en 1977, le Programme international de l'IFLA pour le CBU, la Section de catalogage et la Section Technologie de l'information décident d'établir des recommandations pour la création de fichiers d'autorité et l'échange international des informations (ce sont surtout les fichiers d'autorité automatisés qui sont alors concernés).

Une enquête visant à collecter des données sur les fichiers d'autorité établis par les agences bibliographiques nationales (contenu, sources utilisées, gestion, diffusion) est alors lancée auprès de 85 pays. Quarante agences répondent et les résultats sont rassemblés en 1978 dans un rapport malheureusement non publié[3]. Après avoir constaté que le contenu des notices d'autorité variait considérablement dans le détail, ce rapport souligne la nécessité de définir les éléments constitutifs de ces notices d'autorité afin que les bibliothèques n'étant pas en mesure alors d'échanger des données (c'est-à-dire la majorité d'entre elles) puissent offrir à l'avenir des données d'autorité complètes. Ce rapport souligne également, la nécessité de préparer un format UNIMARC pour échanger ces données.

L'échange des fichiers d'autorité automatisés est donc la préoccupation essentielle alors que rien dans les conclusions ne rattache ce rapport au programme du CBU pourtant en plein développement. En particulier il n'est pas rappelé que la gestion de fichiers d'autorité par une agence bibliographique entraîne un traitement particulier des auteurs nationaux par exemple.

Après ce rapport les mêmes partenaires (Sections de catalogage et Technologie de l'information avec le soutien du Programme international de l'IFLA pour le CBU) créent en 1979 un Groupe de travail sur un système international d'autorités.

Les objectifs de ce Groupe de travail sont atteints avec la publication, en 1984, des *Guidelines for Authority and Reference Entries (GARE)*[4], après une enquête menée auprès de 300 organismes documentaires et bibliothèques nationales.

Les *GARE* entendent jouer, vis-à-vis des notices d'autorité, le même rôle que les ISBD pour la description des documents. C'est-à-dire que sont définis dans ces recommandations, les éléments constitutifs d'une notice d'autorité (vedette d'autorité, renvois, vedettes associées et notes), leur ordre et la ponctuation entre ces éléments. La structure de ces éléments, ainsi que leur ponctuation interne, ne sont pas prises en compte dans les *GARE* qui renvoient pour cela aux autres recommandations publiées sous l'égide du Programme international de l'IFLA pour le CBU. Les *GARE* expliquent donc comment faire une notice d'autorité, mais sont muets sur une quelconque notion de responsabilité partagée dans la création de ces notices entre les agences bibliographiques nationales. En effet les *GARE* établissent les principes d'un système international d'autorités "pour satisfaire les besoins bibliographiques des bibliothèques" dépassant largement le cas des seules agences bibliographiques nationales. Notons toutefois que les *GARE* soulignent la nécessité de développer, dans un second temps, un format UNIMARC pour l'échange des données, puis dans un troisième temps des méthodes pour l'échange efficace de ces données. Rappelons que la première version de l'UNIMARC(A) devrait être disponible à la fin de cette année.

1.2. Pourquoi une nouvelle enquête ?

En 1985, soit un an après la publication des *GARE*, la Bibliothèque nationale de Paris commence à travailler sur les fichiers d'autorité créés dans le cadre de la base bibliographique BN-OPALE : fichiers d'autorité auteurs personnes physiques, collectivités, titres uniformes (et fichiers d'autorité matières). Le personnel responsable de ces différents fichiers, bien qu'ayant une solide expérience dans le domaine du catalogage descriptif, était en majeure partie "novice" en matière de

fichiers d'autorité et son premier souci a été de s'informer sur les recommandations internationales existantes et sur les fichiers d'autorité déjà réalisés à l'étranger et qu'il pouvait consulter alors sur microfiches.

Les constatations ont été déconcertantes :

— le contenu des fichiers d'autorité produits par différents pays est en partie redondant et parfois contradictoire sans que l'on puisse déterminer lequel il convient d'utiliser pour un auteur précis.

— les nationalités des auteurs ne sont pas mentionnées, tout au moins sur les microfiches, ce qui est en contradiction complète avec le respect des recommandations internationales sur la structure des vedettes (*Names of persons*, par exemple) qui reposent sur la nationalité des auteurs.

— le contenu des notices au sein d'un même fichier d'autorité est très variable, sans que les raisons de cette diversité, dûe le plus souvent à l'histoire même du fichier, soient clairement exposées à l'utilisateur.

— certaines notices dites "d'autorité" sont inutilisables car l'identification de l'auteur est incomplète et ne suffit pas à distinguer des homonymes par exemple.

Ces constatations nous ont amenés à utiliser les fichiers d'autorité dont nous disposions sur microfiches, non pas comme des outils de référence pertinents, tout au moins pour les auteurs ressortissants des pays producteurs de ces fichiers, mais comme de simples sources d'information, permettant de glaner ça et là des données nécessaires à l'élaboration d'une nouvelle (et ènième) "notice d'autorité" pour un même auteur.

Dans la mesure où les fichiers d'autorité existants ne semblaient pas correspondre à ceux que les Congrès de Bruxelles et de Paris de 1977 recommandaient d'élaborer, il semblait donc intéressant d'approfondir la question, de chercher à comprendre les raisons de ce décalage et peut-être d'y trouver un remède. C'est pourquoi, en tant que membres du Bureau permanent de la Section de bibliographie, nous avons proposé en 1987 au Congrès de Brighton la création d'un groupe de travail intersections sur les fichiers d'autorité.

Les objectifs étaient les suivants :

1. inventaire des fichiers d'autorité existants, manuels ou automatisés, pour les personnes physiques, les collectivités et les sujets
2. définition et évaluation comparative des listes d'autorités nationales ou internationales, manuelles ou automatisées
3. définition du contenu de la notice d'autorité en liaison avec les *Guidelines for authority and reference entries* (IFLA, 1984)
4. utilisation du contenu de la notice d'autorité par les usagers, professionnels ou non
5. étude comparée de la gestion des fichiers d'autorité en catalogage partagé ou centralisé (responsabilité unique ou non)
6. étude comparative des listes d'autorité matières et de leur utilisation nationale et internationale.

Ce projet approuvé par la Section et que nous voulions ouvrir à toute la Division du Contrôle bibliographique comme aux Sections des bibliothèques nationales et de la technologie de l'information et aussi aux représentants des pays du Tiers-Monde, a été repoussé par le Bureau de la Division qui a cru sans doute que nos préoccupations étaient liées aux simples difficultés de démarrage d'un nouveau système informatique dans notre pays !

Cependant, entre le Congrès de Brighton (1987) et celui de Sydney (1988) le Programme UBCIM s'est montré intéressé par la question et a débattu, au sein de son Comité consultatif, de l'opportunité d'entreprendre un vaste travail sur les fichiers d'autorité dont la situation avait évolué au cours des cinq dernières années.

Un programme de travail ambitieux a même été établi, comportant six étapes :

1. préparation par le Bureau de l'UBCIM d'un résumé du travail déjà accompli par l'IFLA en ce domaine
2. recensement des textes normatifs établis et publiés dans le domaine du contrôle des autorités
3. préparation et diffusion d'un questionnaire sur l'existence et la disponibilité des fichiers d'autorité
4. dépouillement et publication des résultats sous forme de répertoire
5. répartition de tous les problèmes identifiés et établissement de priorités d'action
6. établissement d'un programme pour résoudre ces problèmes et traiter ces priorités, pour financer les différents projets et identifier les experts et/ou les établissements susceptibles de les mener à bien.

Winston Roberts, Programme Officer de l'UBCIM, a été chargé des deux premières étapes. Le document de synthèse *Authorities : Interim report on work in progress* (non publié) a été présenté à Sydney au Comité consultatif du Programme UBCIM. Nous reviendrons sur ses conclusions à la fin de cet exposé. Nous avons pris en charge la 3e étape après que la Section de bibliographie ait accepté d'inscrire les fichiers d'autorité comme thème de sa réunion de Paris. L'enquête devait comporter 2 volets : l'un pour les pays occidentaux, à notre charge ; l'autre pour les pays de l'Est pris en charge par Mme Igumnova de la All-Union State Library for Foreign Literature à Moscou.

Nous avons donc établi un questionnaire pour les pays occidentaux qui a été traduit en anglais par Winston Roberts et envoyé par les soins du Programme UBCIM aux membres de la Conférence des directeurs de bibliothèques nationales (CDNL). Une copie a également été envoyée à Mme Igumnova.

Ce questionnaire comporte 3 parties :

1. un recensement des listes et fichiers d'autorité auteurs[5], manuels ou automatisés existants. Pour comparer des éléments comparables, nous avons dès l'abord lever les ambiguïtés de vocabulaire en rappelant la différence entre liste et fichier : un fichier d'autorité auteurs est constitué de notices d'autorité auteurs. Une notice d'autorité auteur contient, outre la forme retenue en vedette, les formes rejetées et associées, et des notes permettant d'identifier la forme retenue, d'expliquer les relations entre celle-ci et les formes rejetées et associées, d'indiquer les sources consultées. Une liste d'autorité auteurs est une liste qui contient, outre les formes retenues en vedettes, uniquement les formes rejetées ou associées.
2. une analyse générale des fichiers d'autorité auteurs automatisés
3. une analyse de chaque type de notices d'autorité : noms de personne, collectivités ou titres uniformes.

Le questionnaire est très détaillé et assez technique. Sans doute était-il trop long puisque certaines réponses sont incomplètes. Sans doute également sa structure n'est-elle pas toujours adéquate puisque certaines réponses sont contradictoires au sein d'un même questionnaire et donc inutilisables. C'est pourquoi nous ne cherchons pas à établir de statistiques et nous ne retiendrons que les aspects les plus marquants ; les tableaux récapitulatifs complètent cet exposé.

2. RÉSULTATS QUANTITATIFS SUR L'ENSEMBLE DES FICHIERS D'AUTORITÉ AUTEURS

Au 15 juin, sur 92 questionnaires envoyés 30 pays[6] ont répondu soit 33 %.

La première partie du questionnaire permet de recenser quantitativement les listes et les fichiers d'autorité, manuels et automatisés pour les auteurs (noms de personnes, collectivités, titres uniformes) utilisés pour la gestion de la bibliographie nationale courante, manuelle ou automatisée, pour les monographies et publications en série.

5 pays ont répondu qu'ils n'avaient ni listes ni fichiers d'autorité (Barbade, Botswana, Luxembourg, Pakistan, Suisse)

3 réponses ont été écartées qui émanaient d'organismes non gestionnaires de bibliographies nationales courantes stricto sensu : un département spécialisé de la Deutsche Bibliothek (Berlin) et les bibliothèques nationales d'Ecosse et du Pays de Galles.

Il reste donc 25 pays qui ont apporté, à leur façon, une solution au problème de la gestion des points d'accès auteurs de leurs notices bibliographiques[7]. Sur ces 25 pays, 24 (c'est-à-dire tous sauf la RFA) gèrent les points d'accès auteurs personnes physiques, 23 gèrent les collectivités et 13 seulement gèrent les titres uniformes (10 gèrent également un accès auteurs-titres pour les œuvres des auteurs abondamment éditées ; le questionnaire ne prévoit pas leur analyse détaillée).

On distingue 4 types de solutions :

1. *listes d'autorité manuelles* créées pour les besoins de la bibliographie nationale et du catalogue (Grèce, Iran, Tanzanie)
2. *listes d'autorité automatisées* c'est-à-dire index en ligne de la bibliographie nationale, soit directement

(Afrique du Sud, Malaisie, Mexique), soit à l'intérieur d'un réseau (Liechtenstein)

3. *fichiers d'autorité manuels* (Bélize, Grèce, Iran) parfois déjà en cours d'automatisation (Inde, Malte, Portugal)
4. *fichiers d'autorité automatisés* ou systèmes mixtes pour 14 pays (RFA, Australie, Belgique, Canada, Espagne, Etats-Unis, Finlande, France, Japon, Nouvelle-Zélande, Pays-Bas, Royaume-Uni, Singapour, Suède).

3. ANALYSE GÉNÉRALE DES FICHIERS D'AUTORITÉ AUTOMATISÉS (Tableau 1)

3.1. Généralités sur les fichiers d'autorité

La grille d'analyse concerne uniquement les 14 pays ayant déclaré posséder des fichiers d'autorité automatisés. Elle amène une série de remarques :

• nous disposons actuellement de **fichiers d'autorité (FA) de générations différentes** (entre 1971 et 1989). Toutefois les 3/4 ont au moins 5 ans d'existence et on peut supposer que les méthodes de travail sont bien établies

• la moitié environ des FA analysés, bien que liés à des bibliographies nationales courantes, sont gérés dans des bases bibliographiques fonctionnant en réseau. Le **problème du partage ou non des responsabilités de création et de mise à jour de notices**, est alors posé en même temps que celui de la cohérence

• les FA les plus anciens ont été créés en majeur partie entre 1972 et 1981, dans des systèmes parfois technologiquement insuffisants pour permettre de **gérer automatiquement les liens entre FA et fichiers bibliographiques**. Mais l'absence de liens peut aussi résulter d'un choix délibéré : l'utilisation du FA pour gérer les vedettes des notices bibliographiques est alors moins contraignante ; toutefois le report des corrections de vedettes ne se faisant pas automatiquement du fichier d'autorité vers le fichier bibliographique, l'automatisation de ces deux fichiers n'est pas exploitée à fond

• le nombre de pays rédigeant une **notice d'autorité pour chaque vedette nécessaire à la gestion de la bibliographie nationale** est égal à celui de ceux qui font une **sélection** au moins pour un type d'autorité. Cette égalité ne permet pas de dégager de tendance. Parmi les critères de sélection c'est la complexité de la vedette qui est le plus souvent cité (la nationalité n'est prise en compte que deux fois tant pour les noms de personne que pour les collectivités) : le but du FA est alors d'aider le catalogueur à résoudre une fois pour toutes les cas difficiles

• tous les types d'organisation existent (cf. Tableau 2). Les **notices d'autorité sont rédigées, soit par tous les catalogueurs** travaillant à la description des documents recensés dans la bibliographie nationale, sous la responsabilité ou non d'une équipe de spécialistes, **soit uniquement par des spécialistes**. On peut constater curieusement que les pays qui ont un fichier d'autorité auteurs exhaustif font aussi bien appel à tous les catalogueurs (ex. : Australie) qu'à une équipe de spécialistes (ex. : Espagne) pour rédiger les notices ; de la même façon les notices des fichiers d'autorité sélectifs sont rédigées soit par des spécialistes (ex. : Singapour), ce qui semblerait normal vu les critères de sélection définis plus haut, soit par tous les catalogueurs (ex. : Etats-Unis)

• quand les notices d'autorité sont rédigées par tous les catalogueurs signalétiques, la comparaison des pourcentages sur le **temps passé au traitement des notices d'autorité** est assez déroutante puisque ce pourcentage varie de 7 % (Royaume-Uni) pour un FA exhaustif à 50 % (Etats-Unis) pour un FA sélectif. Il semble donc évident que la somme d'informations qui doit être nécessairement rassemblée pour constituer des notices d'autorité varie d'un pays à l'autre. Les listes d'autorité selon la définition ci-dessus sont sans doute plus nombreuses qu'on ne le croit (cf. exemples de notices, Tableaux 6 et 7)

3.2. Généralités sur les notices d'autorité

Si l'on considère maintenant les notices d'autorité proprement dites, une autre série de remarques s'impose tant sur la structure des vedettes que sur les formats de saisie et d'échange :

• la construction des vedettes est fonction des **normes** suivies : on constate une dominance des AACR2 sur les normes nationales dont certaines d'ailleurs s'inspirent des AACR2. Une comparaison ici avec les ISBD recommandées par l'IFLA n'a pas de sens puisque ces dernières ne traitent que du pavé descriptif des documents et ne donnent aucune directive sur la construction des vedettes

• les travaux de l'**IFLA** sur les vedettes sont concrétisés depuis la fin des années 70 par une série de **recommandations**[8] comme les *Names of persons*, *Names of states* ou les *Anonymous classics* : leur utilisation n'est pas chose courante. Entre les 3 pays qui déclarent n'en utiliser aucune alors qu'ils possèdent les fichiers d'autorité pour lesquels elles sont pertinentes, et les 2 pays qui au contraire utilisent toutes celles qui les concernent, on trouve tous les autres pays pour lesquels elles ne sont que de simples sources d'information. D'ailleurs même ceux qui les utilisent[9] ne suivent leurs recommandations que si elles sont compatibles avec leurs propres normes de catalogage et leurs formats et donc, dans une certaine mesure, leurs usages nationaux

• le domaine des **formats** est celui où l'on rencontre la meilleure cohérence car on peut dire que le format MARC et ses dérivés ont fait le tour du monde. Cependant 3 pays seulement déclarent avoir l'intention d'utiliser l'UNIMARC(A) pour échanger des données ! Ce résultat inquiétant pour ce travail international peut s'interpréter de plusieurs façons :

— l'UNIMARC(A) n'étant pas encore publié, peut-être les travaux en cours sont-ils mal connus (cependant on trouve parmi les pays aux réponses négatives des membres de l'International MARC Advisory Committee)

— certains pays n'ont peut-être pas l'intention d'échanger leurs FA et dans ce cas l'UNIMARC(A) ne les concerne pas

— enfin l'UNIMARC(A) est calqué sur les *Guidelines for Authority and Reference Entries (GARE)*, et seuls 3 pays reconnaissent utiliser "plus ou moins" ceux-ci, dans la mesure où ils sont compatibles avec leurs propres normes de catalogage. 7 pays ne répondent pas à la question concernant les *GARE*. 4 pays répondent ne pas les utiliser alors qu'ils avaient un représentant dans le Groupe de travail qui les a rédigés. Quoi qu'il en soit, on peut penser qu'il serait bon d'analyser cet état de fait au moment de la diffusion de l'UNIMARC(A), et d'assurer alors une solide promotion à ces deux documents complémentaires.

• 6 pays seulement ont donné des informations sur l'**accessibilité et les supports de diffusion** de leurs notices d'autorité. Parmi eux, 4 seulement ont des FA disponibles sur bandes donc il serait prématuré de considérer l'échange de ces bandes comme une pratique courante alors que c'était dès 1979 le mode de diffusion retenu par les membres du Groupe de travail. Actuellement, le moyen de diffusion privilégié des FA automatisés est incontestablement les microfiches COM pour lesquelles les clients sont très nettement les plus nombreux. La diffusion très large de ce support peu onéreux est la preuve que l'utilisation des FA dépasse largement le cadre des seules agences bibliographiques et que de nombreuses bibliothèques cherchent des "références" en matière d'autorité. Encore faudrait-il savoir quelle utilisation réelle de ces microfiches est faite par les catalogueurs des établissements acheteurs (car il y a loin de la somme de données saisies en ligne à la somme de données restituées sur les produits microfiches).

4. ANALYSE QUALITATIVE PAR FICHIER D'AUTORITE (Tableaux 3, 4 et 5)

Ces tableaux récapitulatifs devaient permettre une analyse détaillée de chacun des fichiers d'autorité. Cependant, là encore, l'examen attentif des réponses montre que celles-ci sont trop incomplètes ou trop imprécises, voire contradictoires, pour donner une juste idée du contenu réel des fichiers et de leur véritable identité. L'étude particulière de quelques exemples de notices d'autorité (voir Tableaux 6 et 7) met en évidence l'incompatibilité de certaines réponses au questionnaire avec le contenu réel des notices, notamment en ce qui concerne l'existence des notes.

Si l'on souhaite approfondir l'analyse détaillée des fichiers d'autorité, il sera nécessaire de reprendre contact avec les pays ayant répondu à cette partie du questionnaire pour obtenir des informations plus fiables.

5. QUELQUES REFLEXIONS

5.1. La situation actuelle

De l'analyse précédente il ressort que les fichiers d'autorité existants ne sont pas des fichiers servant à l'identification des auteurs nationaux, mais des fichiers servant à normaliser les points d'accès à des bases de données bibliographiques souvent très importantes en volume et nécessairement internationales dans leur contenu.

Comme le constatait Winston Roberts dans le rapport de

synthèse déjà cité, les bibliothèques nationales comme les autres bibliothèques de recherche sont souvent membres de réseaux, ce qui suppose généralement la création de bases de données partagées et par là-même, un fichier d'autorité partagé (dans certains cas ce fichier peut être fourni par une société de service bibliographique). Ces fichiers ne sont pas nécessairement publiés et ils n'ont guère de raison de l'être.

On sait par ailleurs qu'un très grand nombre de bibliothèques spécialisées plus petites sont en train de mettre sur pied des systèmes intégrés spécifiques, réservés à leur propre usage ou commercialisés, mais pour lesquels le contrôle d'autorité est fourni par un module séparé ou inclu dans d'autres modules.

Enfin, le développement d'un OPAC (On line Public Access Catalogue) peut être indépendant de l'existence d'un fichier d'autorité automatisé dans la bibliothèque cliente, puisqu'un tel fichier peut être constitué automatiquement par extraction de toutes les zones vedettes.[10]

Les fichiers d'autorité existants ont à peu près tous le même contenu c'est-à-dire qu'ils sont multinationaux et leur principal support de commercialisation est la microfiche. On peut dire alors que :

— à l'échelon international, le désir d'échanger réellement les fichiers d'autorité n'est sans doute pas aussi fort qu'on l'a cru jusqu'ici et le fait que les différents pays ne se soient pas organisés pour se partager le travail peut être considéré comme une preuve. Les notices concernant les auteurs nationaux qui pourraient être l'objet des principaux échanges, ne sont pas identifiables dans la plupart des fichiers.

— à l'échelon national, la diffusion sur bandes à d'autres organismes documentaires, du fichier d'autorité élaboré par l'agence bibliographique, suppose que ces organismes récepteurs possèdent des systèmes informatiques puissants capables d'intégrer d'un seul coup un grand nombre de notices d'autorité dont toutes ne leur sont pas utiles. Une diffusion sur requête, comme pour les notices bibliographiques, serait peut-être mieux reçue.

Ces diverses considérations expliquent en partie le petit nombre de produits accessibles, le peu d'informations disponibles, d'une manière générale, sur les fichiers d'autorité existants, et la faiblesse actuelle des échanges de bandes.

Or il est vrai que, quel que soit le pourcentage de temps passé à leur gestion, les fichiers d'autorité coûtent cher. Dans un congrès ayant pour thème général les coûts de l'information, et la gestion des moyens, on doit promouvoir l'efficacité, sinon la rentabilité, des services bibliographiques mais c'est encore plus satisfaisant si on peut le faire sans abandonner les principes du CBU, c'est-à-dire en redéfinissant les responsabilités de chacun.

5.2. Les missions des agences bibliographiques nationales

Notre enquête s'inscrit dans le cadre de la Section de bibliographie dont les travaux depuis de nombreuses années ont contribué à une meilleure définition de l'agence bibliographique nationale et de sa bibliographie courante. Or les missions de cette agence ont été définies par l'Unesco (en tenant compte du rapport final du Congrès de 1977 sur les bibliographies nationales (cf. note 2) en 1979[11]. Elles incluent une responsabilité sur les fichiers d'autorité en ces termes :

"En tant que processus essentiel pour la préparation des notices bibliographiques de référence pour les publications nationales, l'agence doit gérer le *fichier d'autorité national* des auteurs noms de personne et des formes d'autorité des noms pour les collectivités privées et officielles [...]"[12]

Certes il existe quelques listes ou fichiers nationaux[13] publiés dans les mêmes années, surtout pour les collectivités, mais ceux-ci semblent sinon ignorés du moins totalement inutilisés hors des frontières nationales.

5.3. Propositions

Il faut que les agences bibliographiques reprennent en compte cette mission dans les meilleures conditions possibles de convivialité et dans un contexte internationalement accepté.

Pour cela l'agence a besoin de différents instruments :

a) des définitions précises

Même dans une collection nationale les auteurs (personnes physiques et collectivités) ne sont pas nécessairement des "nationaux". Il faut donc savoir sur qui va porter le fichier d'autorité national.

On peut regretter que la question de la définition d'un *auteur national* et d'une *collectivité nationale* qui devait être étudiée, d'après Dorothy Anderson[14], par le Groupe de travail sur le système international d'autorités, ait été finalement abandonnée.

Il faudra nécessairement revenir sur cette absence de définitions.

b) des recommandations internationalement acceptées de construction de vedettes

La plupart des listes internationales élaborées par l'IFLA dans ce domaine, dans les années 70 et au début des années 80, continuent à jouer un rôle de référence bien que les réponses au questionnaire leur reprochent d'être insuffisantes, imprécises, obsolètes ou indisponibles.

Il faudrait donc un travail de mise à jour de ces listes qui tienne compte de ces remarques en particulier du manque de précisions. Certes les listes doivent énoncer des principes généraux pour la construction des vedettes dans chaque pays, mais elles devraient aussi proposer des solutions pratiques (sous forme d'exemples détaillés en format UNIMARC(A) de préférence) pour éviter que chaque pays n'interprète librement la règle commune. Elles devraient rassembler les usages nationaux, mais aussi donner des règles à suivre au cas où ces usages ne pourraient pas être entièrement appliqués par les autres pays.

c) des normes internationales de structures de vedettes

Chaque pays a ses normes ou des variantes nationales d'autres normes, et il est normal de respecter les pratiques nationales au niveau des vedettes. Cependant il faut qu'il y ait au moins une forme commune à l'ensemble des fichiers d'autorité existants pour permettre les échanges. Cette forme doit être la forme nationale des noms d'auteurs. Dans ce contexte, des listes IFLA sont également indispensables pour les collectivités internationales et les titres uniformes.

d) des recommandations sur les éléments constitutifs d'une notice d'autorité

Les principes développés dans les *GARE* sont bons. Il s'agit maintenant d'étendre leur diffusion de telle sorte que les notices d'autorité complètes aient bien toutes les mêmes éléments et ne soient pas confondues avec de simples listes de vedettes d'autorité.

e) un format international d'échange

Dès la parution, très prochaine, de l'UNIMARC(A), cette étape sera également franchie.

Grâce à ces instruments de travail, et si les agences assument leurs responsabilités, elles pourront échanger des fichiers d'autorité spécifiques dans leur contenu (ce qui n'est pas le cas actuellement) et compatibles dans leur format, et gérer ainsi le système d'autorité de l'ensemble de leurs bases de données de manière plus satisfaisante. L'ensemble des bibliothèques pourra également bénéficier de ces travaux dans leurs propres systèmes ou bien par une large diffusion de ces fichiers d'autorité sur des supports divers, traditionnels (microfiches) ou non (CD-ROM).

Dans un tel scénario chaque pays peut garder une part de responsabilité sur l'établissement de ses propres formes nationales d'autorité (ce qui est un des grands principes du CBU) sinon sur la production de fichiers d'autorité.

Ce schéma fait également apparaître que le travail international qui reste à accomplir se trouve en amont de la chaîne, car les "instruments" *a) b)* et *c)* sont incomplets ou inexistants. Il serait donc urgent de s'en préoccuper, même si ce sont des problèmes délicats, avant que les incohérences actuelles, encore relatives, ne deviennent irréversibles.

CONCLUSION

Chacun sait que les accords internationaux sont difficiles à établir. Ils sont souvent encore plus difficiles à appliquer... même dans le domaine bibliothéconomique.

Plus de 15 ans après que l'IFLA ait défini les principes du contrôle bibliographique, il est normal que de nouvelles conditions technologiques modifient la mise en application de ces principes. De même, des considérations économiques peuvent faire renoncer à des objectifs trop ambitieux. Mais, convaincus maintenant de la nécessité des listes et des fichiers d'autorité pour gérer au mieux des stocks de données automatisés, disposant d'outils normatifs en matière de structure de notices (*GARE*) et de format (UNIMARC(A)), nous pouvons tout à fait revenir à un partage de responsabilités qui permettra des échanges fructueux dont les membres de l'IFLA seront les premiers bénéficiaires sans tomber dans des batailles commerciales déraisonnables.

NOTES

01. "... for establishing the authoritative form of name for its

country's authors, both personal and corporate, and authoritative lists of its country's authors, personal and corporate". (ANDERSON, Dorothy. *Universal Bibliographic Control : a long term policy, a plan for action*, Saur, 1974).

02. CONGRES INTERNATIONAL SUR LES BIBLIOGRAPHIES NATIONALES. Paris, 1977. — *Rapport final.* — Paris, Unesco, 1978 (PGI-77/UBC/3 ; CONF. 401/COL 11).
03. *Survey of authority files and authority control systems for catalogue headings : first report* /prepared by the IFLA International Office for UBC. — London, 1978. (non publié)
04. *Guidelines for Authority and Reference Entries* recommended by the Working Group on an International Authority System ; approved by the Standing Committees of the IFLA Section on cataloguing and the IFLA Section on Information Technology. — London : IFLA International Programme for UBC, 1984.
05. Les listes et fichiers matières ne sont pas pris en compte dans la mesure où la Section de Classification et d'indexation à l'intention d'étudier ce sujet.
06. Trois questionnaires renvoyés vierges ne sont pas pris en compte ici : Islande, Malawi, Norvège.
07. Les réponses au questionnaire sont incomplètes en nombre et souvent imprécises. Toutefois, on s'aperçoit en consultant d'autres sources comme *International Guide to MARC databases and services* (2e éd. — 1988) ou comme *Library bibliographic networks in Europe, a LIBER directory* (1988) que celles-ci signalent d'autres pays gestionnaires de fichiers d'autorité (par exemple : Chine, Danemark, Brésil, Indonésie, Italie, Jamaïque, Philippines, Arabie Saoudite, Sénégal, Vénézuela...) mais qu'ils n'existent pas de renseignements sur ces fichiers.
08. Listes de recommandations publiées par l'UBCIM Office : *Names of persons : national usages for entry in catalogues.* — 3rd ed. — London : 1977.——— *Supplement to Names of persons : national usages for entry in catalogues 3rd ed.* — London : 1980.——— *Form and structure of corporate headings.* — 1984.——— *Names of states : an authority list of language forms for catalogue entries.* — 1981.——— *List of uniform headings for higher legislative and ministerial bodies in European countries.* — 2nd rev. ed. — 1979.——— *African legislative and ministerial bodies : list of uniform headings for higher legislative and ministerial bodies in African countries.* — 1980.——— *Anonymous classics : a list of uniform headings for European literatures.* — 1978.——— *Liste internationale de vedettes uniformes pour les classiques anonymes = International list of uniform headings for anonymous classics* /IFLA ; comp. by Roger Pierrot. — 1964.——— *List of uniform titles for liturgical works of the Latin rites of the Catholic Church.* — 2nd. rev. ed. — 1981.
09. Les *Names of persons* sont le document le plus volontiers consulté : 10 pays sur les 13 ayant un FA de noms de personne mentionnent qu'ils l'utilisent. Certains pays font remarquer que les listes concernant les collectivités officielles sont osbolètes et que certains Etats ont publié depuis des annuaires beaucoup plus performants. Sur les 8 pays possèdant un fichier d'autorité des titres uniformes, 5 déclarent n'utiliser aucune des deux listes les concernant.
10. Notons cependant que dans ce cas, selon nos définitions, on constitue tout au plus une liste d'autorité et non un véritable fichier d'autorité
11. *Guidelines for the National Bibliographic Agency and the National Bibliography.* — Paris : Unesco, 1979 (PGI/79/WS/18).
12. "As an essential process in preparing the authoritative bibliographic records of national publications, the agency will maintain the *national authority file* of authors'personal names and the authoritative forms of names of official and corporate bodies (*op. cit.*, Chap. III, § 11.3)
13. Parmi les réponses à l'enquête, nous avons relevé par exemple que : le Japon a publié son fichier d'autorité des noms de personne en 1979 et 1985 ; Malte a publié son fichier d'autorité auteurs (noms de personne et collectivités) en 1984 et 1988 ; la Suède a publié 3 fois son fichier des collectivités ; Singapour a publié son fichier des collectivités en 1973 et 1977
14. "The IFLA Sections on Cataloguing and on Mechanization have established a Joint Working Group on an International Authority System, which among its tasks will study existing proposals for the exchange of authority data, and consider definitions for the terms "national authors" and "national bodies" ; *see International cataloguing* 1(4) 1978 : 37 ; 8(1) 1979 : 2' *in Guidelines for the National Bibliographic Agency and the National Bibliography*, p. 48.

Tableau 2. METHODE DE TRAVAIL SUR LES FICHIERS D'AUTORITE

	exhaustivité par rapport aux vedettes de la bibliogr. nat.			qui rédige les notices ? tous les catalogueurs(C) ou des spécialistes(S) ?			% du temps de travail des catalogueurs signalétiques		
	noms de personne	coll.	titres uniformes	noms de personne	coll.	titres uniformes	noms de personne	coll.	titres unif.
ALLEMAGNE	-	oui	-	-	S	C	-	-	20 %
AUSTRALIE	oui	oui	oui	C	C	C	% ?	% ?	% ?
BELGIQUE	oui	oui	oui	C	C	S	25 %	25 %	-
CANADA	oui	oui	oui	C	C	C	15 %	15 %	15 %
ESPAGNE	oui	oui	oui	S	S	S	-	-	-
ETATS-UNIS	non	non	non	C	C	C	50 %	50 %	50 %
FINLANDE	non	-	-	C	-	-	% ?	-	-
FRANCE	non	non	non	C	S	S	30 %	-	-
JAPON	non	-	-	S	-	-	-	-	-
NOUVELLE ZELANDE	oui	oui	oui	S	S	S	-	-	-
PAYS-BAS	non	oui	-	C	S	-	40 %	-	-
ROYAUME UNI	oui	oui	-	C	C	-	7 %	8 %	-
SINGAPOUR	non	non	non	S	S	S	-	-	-
SUEDE	non	non	-	S	-	-	-	-	-

Tableau 6: ANALYSE D'UNE NOTICE D'AUTORITE DE NOM DE PERSONNE

Exemple: nom nécessitant une translittération

● vedette
X renvoi

	AUSTRALIE	CANADA	ESPAGNE	ETATS-UNIS	FRANCE	PAYS-BAS	ROYAUME UNI
Se-jen-ni-hsin				X			
Selchenich'in				X			
Selgenitsin, Aleksandr		X		X			
Seljenitsyn, Aleksandr Isaevitch					X		
Seljénitsyne						X	
Seljenitsyne, Aleksandr Isaevitch					●		
Seljenitsyne, Aleksandr Isaïevitch					X		
Seljénitsyne, Alexandre		●		X	X		
Seljenitzin, Alexander			X				
Seljenitzin, Alexandr			X				
Solschenixyn, Alexander		X					
Solschenizyn, Alexander		X	X	X		X	
Solschenizyn, Alexandr			X				
Solshenizyn, Alexander				X			
Solsjenitsyn, Alexander							X
Solyenitsyn, Alejandro		X		X			
Solzenicyn, Aleksandr				X	X		
Solženicyn, Aleksandr						X	
Solženicyn, Aleksandr Isaevič				X	●	●	
Solženicyn, Alexandr		X					
Solzenitsyn, A. I.					X		
Solzenitsyn, Aleksandr		X		X		X	X
Solzhenitsyn, Aleksandr				X		X	●
Solzhenitsyn, Aleksandr Isaevich	●	●	●	●			
Solzhenitsyn, Alexander	X					X	
Solzjenitsin, Alexander						X	
Solzjenitsyn, Aleksandr						X	
Solzjenitsyn, Alexander				X		X	
Solzjenitsyn, Alexandr						X	
Sorujenitsuin, Arekusandoru				X			
Notes:							
note biographique				oui	oui		
référence d'un ouvrage de l'auteur		oui		oui	oui		
référence d'autres sources			oui	oui	oui		oui

Tableau 7: ANALYSE d'UNE NOTICE D'AUTORITE DE COLLECTIVITE

Exemple: Unesco

● vedette
X renvoi

	AUSTRALIE	CANADA	ESPAGNE	ETATS-UNIS	FRANCE	NOUVELLE ZELANDE	PAYS-BAS	ROYAUME UNI	SINGAPOUR
Educational and Cultural Organization of the United Nations	X			X		X			
Iounesco			X		X				
Naciones Unidas. Unesco			X						
Organisation des Nations Unies pour l'éducation, la science et la culture	X	X	X	X	X	X			
Organización de las Naciones Unidas para la Educación, la Ciencia y la Cultura	X		X	X	X	X			
U.N.E.S.C.O.	X	X		X		X			
Unesco	●	●	●	●	●	●	●	●	●
Unesko				X					
United Nations. Educational, Scientific and Cultural Organization	X					X			X
United Nations. Educational, Scientific and Cultural Organization	X	X	X	X	X	X	X	X	X
Notes diverses		oui	oui						
Note sur la date de création de l'Unesco				oui	oui				
Note sur l'adresse de l'Unesco					oui				

	1	2	3	STRUCTURE 4	5	6	7	LISTES IFLA 8	9	10	11	12	13	14	ACCESSIBILITE ET SUPPORTS 15	16	17	18	19	20	21	22	23
								NOMS	COLLECTIVITÉS				TITRES		EN LIGNE			BANDES			MICROFICHES		
	Location	Catalogage (partagé/ centralisé)	Liens FA/FB	NORMES	FORMAT	GARE	UNIMARC(A)	3e PERSONNE	Forme de structure	Noms de états	Europe	Pays	Uniformes	Titres de fonctions	format	public	clients	format	public	clients	format	public	clients
ALLEMAGNE (Rép. fed. d')	1972	P 3A	Manuels	NAT	NAT	+	non		oui	oui	oui	oui			1987	—		ou	—		non	oui	
AUSTRALIE	1981	P réseau ABN	A	AACR2	AUSMARC (A)	non	non	oui	non	non	non	non	non	non	1981	1981	réseau ABN	1988	—		—	1950	450 B. réseau 40 B. autres
BELGIQUE	1974	P 2B	A	AACR2	INTERMARC (A)			oui	oui	non	non	non	oui	non									
CANADA	1974	C	A	AACR2	CANMARC (A)	±	oui	— oui non	non	non	non	non	non	non	1986	1986		1980	—		—	1977	361 B. can. 32 B. étr.
ESPAGNE	1987	C	A	NAT	IBERMARC			oui	oui	non	oui	oui	oui	oui									
ETATS-UNIS	1977	P réseau LC	Manuels	AACR2	USMARC (A)	non	non	non	non	non	non	non	non	non	non	non	non	1977	non	16 B. US 2 B. étr.	non	1977	377 B. US 342 B. étr.
FINLANDE	1978	C	Manuels	AACR2				oui															
FRANCE	1985	C	A	NAT	INTERMARC (A)	±	oui	oui non	oui	oui	oui	non	oui	oui	1988	1988	1 B.	non	non	non	non	1989	
JAPON	1979	C	Manuels	NAT	NAT	non		non	non														
N.-ZELANDE	1982	C	A	AACR2	USMARC			non	non	non	non	non	non	non									
PAYS-BAS	1982	P réseau PICA	A	NAT	PICA format			oui	oui	non	non	non											
ROYAUME-UNI	1981	C	Manuels	AACR2	UKMARC		non	oui	oui	oui	oui	oui			1988	non		non	non		1981	1981	
SINGAPOUR	1987	P réseau SILAS	A	AACR2	USMARC			oui	non	non	non	non	non	non									
SUEDE		C	Manuels	AACR2	LIBRIS format	non	oui	oui	non	non	non	non											

Tableau 1 : ANALYSE GENERALE DES FICHIERS D'AUTORITE AUTOMATISES

Tableau 1 : ANALYSE GENERALE DES FICHIERS D'AUTORITE AUTOMATISES

Légende

Généralités: colonne 1 : date d'automatisation de la gestion

colonne 2 : catalogage centralisé (C) ou partagé (P)

colonne 3 : les liens entre le fichier d'autorité (FA) et le fichier bibliographique (FB) sont-ils manuels ou automatisés (A) ?

Structure des notices et des fichiers d'autorité:

colonne 4 : normes utilisées pour la construction des formes retenues (NAT=normes nationales)

colonne 5 : format de saisie des données

colonne 6 : lorsque le fichier d'autorité est édité en clair, la présentation des notices est-elle conforme aux recommandations énoncées dans les "Guidelines for authority and reference entries" (GARE) ?

colonne 7 : avez-vous l'intention d'utiliser le format d'échange UNIMARC(A), en cours d'élaboration, pour diffuser votre fichier d'autorité ?

Utilisation des listes IFLA:

colonnes 8 - 14 : suivez-vous les recommandations énoncées dans les publications émanant de l'UBCIM Office ? (cf. les références complètes figurent dans la note 8 à la fin du texte de la communication)

Accessibilité et support:

colonnes 15 - 23 : le fichier d'autorité est-il accessible en ligne (colonnes 15-17) ?
le fichier d'autorité est-il disponible sur bande (colonnes 18-20) ?
le fichier d'autorité est-il disponible sur microfiches (colonnes 21-23) ?
Avec quels affichages le fichier d'autorité est-il disponible ?
. affichage en format de saisie ? (colonnes 15, 18 et 21)
. affichage en clair pour le public ? (colonnes 16, 19 et 22)
Quels sont les clients ? (colonnes 17, 20 et 23)

40-17

TABLEAU 3

NOMS DE PERSONNE		ZONES FIXES 1 CAR	2 MAJ	3 LA	4 NAT	5 dates vic	6 dates autres	FORMES RETENUES 7 forme usage	8 forme interne	9 type de nom	10 translit.	11 langue	12 autres	FORMES REJETEES 13 nom d'origine	14 types	15 translit. rejetées	16 langues	FORMES ASSOCIEES 17 en général	18 types	NOTES 19 notes biographiques	20 notes d'identification	21 référence bibliographique	22 catalogue	23 sources utilisées	24	25 confidentialité
ALLEMAGNE (Rep. fédérale d')	pas de fichier																									
AUSTRALIE	saisie	−	+	·	−	−		+	+					(illis.				Oui		+	+	Oui		+	+	non
	édition	−	−	−	−	−		+						Oui						+	+	Oui		−	−	
BELGIQUE	saisie	+	+	+	+	+		+	−	+	+	+		Oui				Oui		+		Oui	+	+		non
	édition	−		−	−	+		+			−	−														
CANADA	saisie	+	+	-		−		+	+	+	−	+			+	+	-+		+	+	+	Oui	+	+		Oui
	édition	+	+	-		−		+			−	−			+	−	−		+	+	+	Oui		+		
ESPAGNE	saisie	−	−	-		−		+		−			nom composés		−			:	−	+	+	Oui		+		non
	édition	−	−	-		−		+					−		+				+	+	+	Oui		+		
ETATS-UNIS	saisie	+	−	−	−	−	−	+		−	−	−			−	−	−	+	−	+	+	Oui	+	+	+	non
	édition	+	+	−	−	−	−	+		−	−	−			−	−	-	−	−	+	+	Oui		+	+	
FINLANDE	saisie	−	−	−		+		+		+	+	+			−	+	+									Oui
	édition	−	−	−		+					+	−			+	+										
FRANCE	saisie	+	+	+	+	+	−	−	+	+	+	+	Jeu de caractères		+	−	−		+	+	+	Oui	+	+	+	Oui
	édition	+	+	+	+	+	−	−			+	+	−		+	−	−		+	+	+	Oui		−	−	
JAPON	saisie	+	−	-		+		−	+					Oui						+	+	Oui	+	+		Oui
	édition	−	−	-		+		−						Oui						+	+	Oui		+		
N.-ZELANDE	saisie	+	+	−		+		−	+	+					+				+		+					non
	édition	−		−		−				−																
PAYS-BAS	saisie	+	+	−		+		+	−	+					+				+	+						?
	édition	−	−	−		+		−							+				+	−						
ROYAUME-UNI	saisie	+	−	−		+		−	−	−	−	−		Oui					−		+	Oui	+	+		?
	édition	−	−	−		+		+		−	−	−		Oui					−		−	Oui		+		
SINGAPOUR	saisie	+	+	−	−	+	−	+		−	−	−	AFRIK			~	−		+	+	−	non		+		non
	édition	−	−	−	−	+	−	+		−	−	−	−			−	−	-	+	+	−	non		+		
SUEDE	saisie	+		−		−		+	−					Oui				Oui		+				+		non
	édition	−		−		−																		)		

Tableau 3 : ANALYSE QUALITATIVE DES NOTICES D'AUTORITE NOMS DE PERSONNE. **Légende.**

Zones fixes:
- colonne 1: date de création de la notice
- 2: date de la dernière mise à jour
- 3: langue la plus utilisée par l'auteur
- 4: nationalité de l'auteur
- 5: dates biographiques (naissance, mort)
- 6: dates d'activité (début, fin)

Formes retenues:
- colonne 7: est-ce la forme d'usage dans votre pays ?
- 8: est-ce la forme internationalement reconnue?
- 9-12: pour les formes retenues en vedettes, avez-vous la possibilité de préciser:
  - col. 9: le type de nom (pseudonyme, nom en religion, etc.)
  - col. 10: la norme de translittération utilisée
  - col. 11: la langue de la forme retenue
  - col. 12: autres informations

Formes rejetées:
- colonne 13: existence de ces formes, sans autres précisions
- 14-16: pour les formes rejetées, avez-vous la possibilité de préciser:
  - col. 14: le type de nom (pseud., noms en religion, etc.)
  - col. 15: la norme de translittération utilisée
  - col. 16: la langue de la forme rejetée

Formes associées:
- colonne 17: existence de ces formes, sans autres précisions
- 18: pour chaque forme associée, avez-vous la possibilité de préciser le type de nom (pseud., nom en religion, etc.)

Notes
- col. 19: note biographique concernant la personne: profession, lieu d'exercice, etc.
- 20: note sur l'utilisation qui doit être faite de la forme retenue en vedette dans le fichier bibliographique
- 21-22: note précisant le titre et la date de publication d'une des oeuvres de l'auteur afin d'aider à son identification. S'agit-il le plus souvent:
  - col. 21: de l'oeuvre la plus connue de l'auteur
  - col. 22: de l'oeuvre pour la description bibliographique de laquelle la notice d'autorité est rédigée ?
- 23-24: note sur les ouvrages de référence ou les sources consultés pour établir la notice d'autorité:
  - col. 23: avec profit
  - col. 24: en vain
- 34: confidentialité: le catalogueur a-t-il la possibilité, pour chacune des notes citées ci-dessus de décider si elle doit être rendue publique (c'est-à-dire éditée dans les produits ou si elle doit rester confidentielle (c'est-à-dire consultable uniquement par les cataloqueurs alimentant le fichier d'autorité) ?

TABLEAU 4

COLLECTIVITES		ZONES FIXES 1 CAR	2 MAJ	3 NIF	4 LM	5 dates alphabet	6 type	7 chiffre arabe	FORMES RETENUES 8 forme usage	9 interrogation	10 translitération	11 langue	12 autres	FORMES REJETEES 13 en général	14 translitération	15 langue	FORMES ASSOCIEES 16	17 Histoire	18 Adresse	19 Uniformité	20 REF. au livre en général	20 REF. au livre catalogue	21	22 SOURCES +	22 SOURCES −	23	24
ALLEMAGNE (Rép. fédérale d')	saisie	+	+	+		+	+		+	—	+			Oui			+							+			non
	édition	+	+	+		+			+								?										
AUSTRALIE	saisie	-	—	+			—		-	—				-				-		..				+	—		non
	édition	-	—	—			—		-					-				+		+				—	—		
BELGIQUE	saisie	+	—	+	—		—		+	—	—	+		Oui	+	+			+					+			non
	édition	—	—	—	—		—		+		—	—		?	?	?			+					—			
CANADA	saisie	+	+				+	+	—	+	+	+		Oui	+	—		+		+	Oui	+		—			Oui
	édition	—	+				—	—	-		-	—		Oui	—	—		+		+	Oui			+			
ESPAGNE	saisie								—					Oui				—	+	+	Oui	+		+			non
	édition								-					-				..	—	—	Oui			—			
ETATS UNIS	saisie	+	+						+	—				Oui			—	+	+	+	Oui	+		—	+		non
	édition	+	—											Oui			+	+	+	+	Oui			+	+		
FINLANDE	pas de fichier																										
FRANCE	saisie	+	+	+	—	+	+	+	—	+	+	+	3 ou 4 caractères	Oui	—	—	—	+	—	+	Oui	+	+	+	+		Oui
	édition	?	—	+	—	+	—	—			+	+	—	?	—	—	+	+	—	+	Oui			+	—		
JAPON	pas de fichier																										
N. ZELANDE	saisie	+	+				—		+	+								+									
	édition	?	?				?																				
PAYS BAS	saisie	+	+						+	—								+	+								
	édition	—	—						+									—	—								
ROYAUME UNI	saisie	+						+	+	—				non			?				Oui	—		+			mon
	édition	—						+	+	—				non			?				Oui			+			
SINGAPOUR	saisie	+	+					+	+				ARCR2	Oui			+	+						+			mon
	édition	—	—					+	+				—	Oui			+	+						+			
SUEDE	saisie	+						+	+	—				Oui			+	+						+	—		
	édition	?							+					Oui			+	?						—			

Tableau 4: ANALYSE QUALITATIVE DES NOTICES D'AUTORITE COLLECTIVITES. Légende

Zones fixes:
- colonne 1: date de création de la notice
- 2: date de la dernière mise à jour
- 3: nationalité de la collectivité
- 4: langue la plus utilisée par la collectivité
- 5: dates d'activité (création, dissolution)
- 6: type de collectivité (congrès, collectivité privée, collectivité officielle, etc.)
- 7: champ d'activité de la collectivité

Formes retenues:
- colonne 8: est-ce la forme d'usage dans votre pays ?
- 9: est-ce la forme internationalement reconnue ?
- 10-12: pour les formes retenues en vedettes, avez-vous la possibilité de préciser:
  - col. 10: la norme de translittération utilisée
  - col. 11: la langue de la forme retenue
  - col. 12: autres informations

Formes rejetées:
- colonne 13: existence de ces formes, sans autres précisions
- 14-15: pour les formes rejetées, avez-vous la possibilité de préciser:
  - col. 14: la norme de translittération utilisée
  - col. 15: la langue de la forme rejetée

Formes associées:
- colonne 16: existence de ces formes

Notes:
- colonne 17: historique de la collectivité, mention des textes constitutifs de la collectivité
- 18: adresse de la collectivité
- 19: note sur l'utilisation qui doit être faite de la forme retenue en vedette dans le fichier bibliographique
- 20-21: note précisant le titre et la date de publication d'un des textes publiés par la collectivité afin d'aider à son identification. S'agit-il le plus souvent:
  - col. 20: de la publication la plus connue de la collectivité
  - col. 21: de la publication pour la description bibliographique de laquelle la notice d'autorité est rédigée
- 22-23: note sur les ouvrages de référence ou les sources consultés pour établir la notice d'autorité:
  - col. 22: avec profit
  - col. 23: en vain
- 24: confidentialité: le catalogueur a-t-il la possibilité, pour chaque note citée ci-dessus de décider si elle doit être rendue publique (c'est-à-dire éditée dans les produits) ou si elle doit rester confidentielle (c'est-à-dire uniquement consultable par les catalogueurs alimentant le fichier d'autorité) ?

40-22

Tableau 5 :

TITRES UNIFORMES		ZONES FIXES 1	2 date CRE	3 date MAJ	4 NAT	5 LA	FORMES RETENUES 6	7 IFLA	8 NATIONALES langue	9 nom MIA	AUTRES LISTES 10 tous	11 non ISBD	12 titres	13 sujets	14 divers	FORMES REJETEES 15	16 IFLA	17 NAT	18 divers	19 titres	20 sujets	21 divers	FORMES ASSOCIEES 22	23 rapprochements	24 divers	NOTES 25	26 CONTENU genre	27 note	28 mon	29 nom/prénom	30 prénom	31 UTILISATION	32 SOURCES +	33 SOURCES −	34 COMMENTAIRES
ALLEMAGNE (Rep. Fédérale d.)	pas de fichier																																	
AUSTRALIE	saisie	oui	+	−	−	?	oui	+	+							?							?			?						+	−	−	non
	édition	non	−	−	−	?	?																?			?						+	−	−	
BELGIQUE	saisie	oui	+	−	+	−	oui	−	−	+	+			+	+	?							oui	+		oui	−	+	−	−	+		+	−	non
	édition	?					?									?							?			?									
CANADA	saisie	oui	+	−	?	−	oui	−	+	−	−	−	−	+		oui		−	+	−	+		oui	+		oui	−	+	−	+	−	+	−	−	oui
	édition	oui	−	+	?	−	oui	−	−	−	−	−	−	−		oui		−	+	−	−		oui	−		oui	−	+	−	+	+	+	+	−	
ESPAGNE	saisie	+					oui	+							−	oui	+				−		oui	−		oui						−	+	−	non
	édition	?					?																?	+		oui						+	+	−	
ETATS-UNIS	saisie	oui	+	+	−	−	oui	−	+				−	−		oui	−		−	−			oui	−		oui	−	−	−	−	−	−	+	−	non
	édition	oui	+	+	−	−	oui		+				−	−		oui	−						oui	+		oui	−	−	−	−	+	+	+	+	
FINLANDE	pas de fichier																																	
FRANCE	saisie	oui	+	−	−	−	oui	+	−	−	−	−	−	−	+	oui	−	−		+	−		oui	−		oui	+	−	−	+	−	+	+	−	oui
	édition	oui	[redacted]	+	−	−	oui	+	−	+	−	+	+	+		oui				−	+		oui	−		oui	−	+	+	−	−	+	−	+	
JAPON	pas de fichier																																	
N.-ZELANDE	saisie	oui	+	+	?	?	?									?							?			?						?	?	?	?
	édition	?					?									?							?			?						?	?	?	
PAYS-BAS	pas de fichier																																	
ROYAUME-UNI	pas de fichier																																	
SINGAPOUR	saisie	oui	+	+	?	?	oui	+			+					oui	+	+			+		oui	?		oui						?	+	?	non
	édition	non	−	−			oui	+			+					oui	+	+					oui	?		oui						?	−	?	
SUEDE	pas de fichier																																	

Tableau 5 : ANALYSE QUALITATIVE DES NOTICES D'AUTORITE DE TITRES UNIFORMES. Légende

Zones fixes
- colonne 1: existence de ces zones fixes
- 2: date de création de la notice
- 3: date de la dernière mise à jour
- 4: nationalité de l'oeuvre
- 5: langue originale de l'oeuvre

Formes retenues
- colonne 6: existence de ces formes retenues
- 7: est-ce la forme internationale retenue par l'IFLA ?
- 8-9: est-ce la forme d'usage dans votre pays ?
  - col. 8: dans tous les cas
  - col. 9: pour les oeuvres non recensées par l'IFLA ?
- 10-11: est-ce une forme trouvée dans d'autres listes ou d'autres fichiers d'autorité ?
  - col. 10: dans tous les cas
  - col. 11: pour les oeuvres non recensées par l'IFLA ?
- 12-14: pour les formes retenues en vedettes, avez-vous la possibilité de préciser:
  - col. 12: la norme de translittération utilisée
  - col. 13: la langue de la forme retenue
  - col. 14: autres informations

Formes rejetées:
- colonne 15: existence de ces formes
- 16: est-ce la forme internationale retenue par l'IFLA ?
- 17: est-ce la forme d'usage dans votre pays ?
- 18: est-ce la forme trouvée dans d'autres listes IFLA ?
- 19-21: pour les formes rejetées, avez-vous la possibilité de préciser:
  - col. 19: la norme de translittération utilisée
  - col. 20: la langue de la forme rejetée
  - col. 21: autres informations

Formes associées:
- colonne 22: existence de ces formes
- 23: type d'association (parties et oeuvres complètes, changement de titre daté, etc.)
- 24: autres informations

Notes
- colonne 25: existence de ces notes
- 26-30: notes de contenu
  - col. 26: genre littéraire et/ou définition
  - col. 27: date de rédaction de l'oeuvre
  - col. 28: manuscrits existants et localisation
  - col. 29: nom du ou des auteurs au(x)quel(s) l'oeuvre a été attribuée
  - col. 30: autres versions pour les textes littéraires
- 31: note sur l'utilisation qui doit être faite de la forme retenue en vedette dans le fichier bibliographique
- 32-33: note sur les ouvrages de référence ou les sources consultés pour établir la notice d'autorité:
  - col. 32: avec profit
  - col. 33: en vain
- 34: confidentialité: le catalogueur a-t-il la possibilité, pour chaque note citée ci-dessus de décider si elle doit être rendue publique (c'est-à-dire éditée dans les produits) ou si elle doit rester confidentielle (c'est-à-dire consultable uniquement par les catalogueurs alimentant le fichier d'autorité)?

40 - 23

Designing Online Catalog Subject Access to meet User Needs

Marcia J. BATES, *Ph.D., Associate Professor, Graduate School of Library and Information Science, Los Angeles, California, USA*

ABSTRACT

More and more research evidence is demonstrating that people think about and describe subjects, and search by subject in catalogs, in dramatically differently ways from what librarians have always assumed. For example, a group of people describing a subject or searching by subject almost invariably produce a very large number of different terms for a given topic, and even the most frequent of these terms constitutes a minority of all the descriptions of the topic. Yet subject cataloging systems are based on the assumption that people can produce and use one of a small handful of approved terms or cross references. This research evidence explains some of the well-documented problems users have had with subject searching in catalogs.

Now that we have much greater flexibility in the design of catalogs in the online environment, we have the opportunity to design online catalogs and the catalog search interface to meet user needs and psychological characteristics much better than has been possible before now. The research evidence regarding subject searching is first reviewed in this article. Then a number of suggestions are made for improvements in the design of online subject catalog interfaces to match the characteristics of user search behavior. In particular, a "Superthesaurus" is proposed, i.e., an online user thesaurus, which is designed to assist users in moving from their initial search term to the actual Library of Congress Subject Headings or other subject indexing terms used in the catalog.

INTRODUCTION

In the age of the card catalog, there were many practical limitations imposed on the design of subject catalogs. Now, however, with the rapid expansion of online access to catalogs, we have much more flexibility in design possibilities. As computer storage costs continue to decline, and computer processing speeds increase, we see a new world opening before us, in which we can choose almost any imaginable design. We can at last make decisions about the design of catalogs that give primary emphasis to the needs of the users, rather than to cost limitations.

We are free now to explore the psychology of the searching process : to study how people think about and describe subjects, how they search for information by subject, and what problems they encounter in these processes. In recent years, evidence has been growing that these psychological processes work in quite different ways from what we have always assumed.

In the next section of this article, "Patterns of Subject Term Use," evidence is presented for this new understanding of how people think about and search for subject information. In the following section, "Improving Online Subject Access to Meet User Needs," some suggestions are made for changes in the design of subject access to online catalogs. A conclusions section completes the article.

PATTERNS OF SUBJECT TERM USE

A fundamental assumption of subject cataloging — an assumption so basic that it is seldom discussed — is that it is possible to find one or two terms to describe a subject, add a see reference or two, and thereby provide good subject access to a topic. In other words, it is assumed that, with some care, it is possible to identify a handful of terms, including both headings and see references, that will jointly cover almost all the search terms that catalog users might come up with in searching for that topic. Thus, by providing this range of access terms for subject concepts (which terms are, in turn, applied to documents written on the concepts), it is expected that the great majority of users will be able to match their search term with a heading or a see reference describing items of interest to them in the catalog.

Now, however, it appears that this model of a catalog user's thinking and search process may be highly inaccurate. Studies in office automation and in several subfields of library/information science all suggest that the human mind produces very much greater variety of description of concepts than we have assumed. Furthermore, and of even greater significance, even the most frequent of the terms are used by only a minority of people, so that we cannot hope to find the one or two best terms to use as headings. In this section I will describe several different research studies that produce evidence for this point, then in the next section I will draw implications of this research for the design of online subject search interfaces.

Evidence comes from both subject indexing and subject searching, and from both manual and online environments. Furnas, et al. (1982) were interested in identifying the best names to use for text-editing operations so that these names could be used in the design of automated text-editing systems. They did several studies, which produced similar results. For example, in one, 48 secretarial and high-school students were given a sample manuscript with authors' corrections and asked to "prepare a typed list of instructions for someone else who was actually going to make the changes but did not have the author's marks" (p. 251). Here one might expect the range of terms to be smaller than is the case in our field, because very specific concrete operations were being described, rather than the topic of an information need. Yet the authors state : "The most striking result from the verbal production data was the great diversity in people's descriptions... The average likelihood of any two people using the same main content word in their descriptions of the same object ranged from about .07 to .18..." (p. 252).

During the 1960's and 1970's a great deal of research was done on "indexer consistency." Two indexers well trained in an indexing system (interindexer consistency) would frequently index a given document differently, and even the same indexer (intraindexer consistency) would use different terms at different times on the same document. It is difficult to compare the studies, because researchers used different measures of consistency ! No matter what measure of consistency was used, however, rates of consistency in indexing were found to be low, frequently less than 50 percent (Leonard, 1977 ; Stevens, 1965).

Variety in search term use has been found in several studies as well. Lilley (1954) and I (1977a,b), in separate card catalog studies, found low frequencies for search terms. Lilley asked 340 students to give subject headings that they might search on to find six books. An average of 62 different headings were suggested for each book (p. 42). The most frequent term suggested for each book by Lilley's students averaged 29 percent of total mentions across the six books (my calculation). Most of Lilley's examples are simple, the easiest being *The Complete Dog Book*, for which the correct heading was "Dogs".

In my study, the students were asked to state the search term they would use to find a book just like the one described in an abstract. The study was not designed to examine intersearcher consistency, but when I recently scanned the responses given by the undergraduate and graduate students in the study, I found the same enormous variety found by Lilley. For example, 71 students responded to the first book in the study ; they produced 46 different headings (some varying by singular/plural only), no one of which was suggested by more than six people.

The most recent research is that of Tefko Saracevic, who, in a large study funded by the U.S. National Science Foundation, examined various features of online searching performance (Saracevic, et al. 1988 ; Saracevic & Kantor, 1988a,b). In one of the substudies, he computed the degree of agreement among professional searchers in search terms used for the same test questions. He compared five searchers on each of 40 test questions, a pair at a time. (Incidentally, the 40 questions were all real information needs, not manufactured queries [Saracevic & Kantor, 1988a, p. 177].) So in total, there were 800 pairwise comparisons (Saracevic & Kantor, 1988b, p. 203). Looking at the degree of agreement between searchers in terminology used, he found the following results : In 56 percent of the comparisons, the overlap in terms used was 25 percent or less, and in fully 94 percent of the comparison the overlap in terms was 60 percent or less. In only 1.5 percent of the cases were the search formulations identical (Saracevic & Kantor, 1988b, p. 204).

We may summarize the results from the above studies by saying the following : The average likelihood that any two people will use the same term for a concept or a book is in the range of 10 to 20 percent. The total number of terms produced by a group of people for a given topic is almost always very

large. So instead of people's descriptions clustering around just one or two terms, there may be dozens used, and even the most popular terms are generally used by a minority.

This great variety of search terms, matched against the one or two headings that are assigned per book, produces some other results that are not surprising, given the above. Karen Markey (1988) reviewed several studies of search success on a variety of online catalogs. She found that 35 to 50 percent of keyword searches of subject heading fields resulted in *no retrievals at all*. In her own research, she found, furthermore, that many of the cases where there was a match with a term, no relevant materials were found, i.e., it is likely that some other access term was needed to locate the desired material. I had likewise found earlier in my card catalog research that the likelihood of matching with the actual heading used for a book, rather than with any heading in the catalog, was as low as 20 percent, even when partial word and partial heading matches were counted (Bates, 1977a).

Such similar results in such different sets of circumstances suggest that we are dealing with a fundamental characteristic of human thinking and language use, not with failures or weaknesses in education or training. *Wide variety of conceptualization and linguistic expression for topics appears to be native to the human mind.*

I think we can conclude that it will be impossible to extinguish this natural human variety in description of information in the real-world use of information systems. I also argue that it is unnecessary. We can design systems that use the natural human variety in expression, and harmonize with it, rather than trying to suppress it. Ways in which we might do so are suggested in the next section. The only alternative is to continue to produce systems with the very low match rates found in Markey's survey.

IMPROVING ONLINE SUBJECT ACCESS TO MEET USER NEEDS

The evidence presented in the previous section is abundant and very persuasive to the effect that people use a great variety of terms for topics, and no one term is very popular. Must we then abandon authority control in vocabulary and indexing? Must we index every document with dozens of terms? The answer to both questions is "No."

The key to a solution for this problem is to distinguish subject *description* from subject *access*. Subject description can be maintained largely as it is currently, while subject access can be developed in many effective new ways, using modern computer capabilities. I propose that we develop an access "*front-end*", that is, a thesaurus database plus interface that is the entry or vestibule to the bibliographic database. The access component of the online interface can be designed to contain all the variety of terminology existing in searchers' natural, spontaneous expressions of subject need. Once a searcher enters his or her term and matches with the full variety of terms in the catalog interface, he or she is then *guided or channeled* by the interface to the subject heading(s) actually used for documents of interest. Thus, number of subject headings applied can remain stable and limited, while search success is nonetheless improved.

Thus, by separating description from access, we can retain the benefits of grouping of like materials that results from vocabulary control, while at the same time, drawing on the power of online systems, we can improve greatly the means of subject access available for users to get to those documents. In the online environment there are many more possibilities for improving subject access than we had available earlier. Once we link these powerful means of access to existing controlled vocabulary, we have the best of both worlds.

The possible ways in which such a front-end could be designed are almost endless. However, I will make some specific suggestions here, which I believe will be particularly useful in promoting effective access and retrieval from online catalogs. Also, in line with the theme of this conference, I will show how these approaches keep costs low while improving catalog effectiveness. I am writing with an alphabetical subject catalog in mind, but the proposals to be made can be adapted to classified catalogs as well.

Let us call the front-end thesaurus database and interface a "Superthesaurus." It is called that because is does much more than a conventional thesaurus. First and foremost, the Superthesaurus is adapted to the needs of catalog users, rather than indexers. Note that most thesauri are designed primarily for indexers. They use codes like "UF" that are unfamiliar to searchers, and often the list of terms in a thesaurus does not match the terms actually used in a database. For example, the thesaurus may provide rules for making up proper noun terms, rather than list the terms of that type that have actually been developed for that catalog, so the catalog may contain headings not listed in the thesaurus. On the other hand, a thesaurus may list terms that have not yet been incorporated into a particular library's catalog. Either way, the great majority of searchers who do not understand cataloguing are likely to be confused by indexer thesauri.

So the Superthesaurus is designed to be a user thesaurus. Headings actually used in that library would be indicated and/or explained, many scope notes and definitions would be included, and cross reference terminology would be self-explanatory.

The most important feature of the Superthesaurus, however, is the entry terminology. There would be a vastly larger number of entry ("see from") terms in the Superthesaurus than is found in current thesauri. Thus when searchers enter a term in an online catalog, they should match with *some* term initially in the Superthesaurus at least 99 percent of the time, rather than the 50 to 65 percent of the time found by Markey in her review. Colloquial terms and minor variations of other terms can all be included in the thesaurus, because the searcher will be directed from this point toward subject headings actually used to index books.

Entry terms can be changed, added, and, in the case of terms that turn out to be only briefly popular, dropped, easily because the *indexing on individual documents does not have to change*. Links can be made in the online thesaurus between any new terms and whatever indexing terms have already been used on documents. Where entry terms are ambiguous, users can be given choices. Thus, with this approach to improving catalog access and search success, no retrospective changes in indexing of any specific documents will be necessary — an approach which should produce an enormous saving in cost compared to approaches that would require reindexing.

The system should be designed with the thesaurus linked to the bibliographic database so that the searcher can ask directly for documents indexed under a term, rather than having to withdraw from one database (the thesaurus) and enter another database (the books).

The possible further design possibilities with the Superthesaurus are almost limitless. It should be possible to design it so that the searcher can explore through related terminology endlessly, if desired, by following cross references.

Our understanding of the meaning of a subject term is greatly enhanced if we see how it relates to other terms, in other words, in context in the indexing system. Searchers could therefore be shown hierarchical trees of terms that surround their chosen search term and thus get a better understanding of how the term is used by indexers. They could also be shown related hierarchies in classification systems associated with the catalog. More detailed suggestions for the design of the Superthesaurus appear in other publications of mine (Bates, 1986b; Bates, in press).

In recent years there has been much discussion about the inadequacies of the Library of Congress Subject Headings (LCSH), and indeed, I have been one of the critics (Bates, 1977b). Suggestions have been made to improve these headings or even to convert to another subject description system, such as PRECIS. The analytical rigor and linguistic consistency of PRECIS make it very attractive. Such an approach of changing indexing systems would be expensive; nonetheless, if it proved superior, we might well conclude that the expense should be borne in order to provide better catalog subject access.

However, Schabas (1982) found, in a study comparing the retrieval performance of LCSH and PRECIS, that in an online environment the simple addition of title terms to the LCSH headings actually improved retrieval more than would the substitution of PRECIS indexing for LCSH indexing! In fact, the performance of LCSH and PRECIS were surprisingly similar in an online environment.

Thus, it would appear that we are better off with an approach that leaves existing indexing methods largely in place, with only incremental changes in indexing techniques as we understand the needs of online systems better. Instead, I suggest that we will have better luck improving online catalog subject retrieval through the use of a device such as a Superthesaurus, that is geared to the variety in human language use.

One of the good things about the Superthesaurus is that it

can be developed incrementally over time, and still be useful immediately. Some existing thesaurus such as the *Library of Congress Subject Headings* (1988), which is already in machine-readable form, could be used to start the Superthesaurus. Then, each additional bit of assistance to the searcher which is provided by extra entry terms, or other supplemental vocabulary, classification hierarchies, and the like, only helps the searcher more. There is no need to have a single complete system in place before the Superthesaurus could be used. Each addition helps more, but even the starting point — an existing thesaurus put online — is helpful.

Since much of the access terminology would be the same for users of libraries all across any given nation, it should be possible for cooperative efforts in the development of a Superthesaurus to greatly reduce the cost of the thesaurus for any one library. Decisions could be made jointly by libraries of each type in a country about the types of features to be included in the thesaurus, and a central location could collect all recommended entry terminology, and all hierarchies, definitions, scope notes, and other explanatory material prepared for users. Subscribing libraries could then share the cost of merging the contents of this subject "mind" into a front-end Superthesaurus for users. Individual libraries, upon receiving a machine-readable copy of the thesaurus, could then make local adaptations, as needed.

CONCLUSIONS

The tradition, particularly for classified catalogs, was that the catalog should itself be an instrument of education. Individuals with lively minds have always enjoyed looking through libraries and browsing through catalogs. Using the card catalog for exploratory searching (Bates, 1986a) was relatively difficult, however, and only the truly dedicated did so. Now with the power and ease of online access to catalogs, we have the possibility of designing a "front-end", a Superthesaurus for users, that enables them to explore easily in the catalog, and learn as much as they want, while they locate materials of use to them.

By separating subject description from subject access we have permitted subject description to remain as economical in cost to libraries as at the current time, and have freed subject access to be developed as much or as little as we want. Cooperative efforts among libraries should reduce further the cost of developing a Superthesaurus in each linguistic or national community. Catalog users, who, with the help of the Superthesaurus, should enjoy information searching, and have high success rates, will thank us.

REFERENCES

01 Bates, M.J. : "An exploratory paradigm for online information retrieval." *In* : Brookes, B.C., ed. *Intelligent Information Systems for the Information Society. Proceedings of the Sixth International Research Forum in Information Science (IRFIS 6), Frascati, Italy, September 16-18, 1985.* Amsterdam : North-Holland, 1986a. p. 91-99.

02 Bates, M.J. : "Factors affecting subject catalog search success." *J. ASIS* 28 (1977a) No. 3, p. 161-169.

03 Bates, M.J. : *Rethinking subject cataloging in the online environment.* Lib. Resources & Tech. Serv., in press.

04 Bates, M.J. : "Subject access in online catalogs : A design model." *J. ASIS* 37 (1986b) No. 6, p. 357-376.

05 Bates, M.J. : "System meets user : problems in matching subject search terms." *Inform. Process. & Management* 13 (1977b) No. 6, p. 367-375.

06 Furnas, G.W., et al. : "Statistical semantics : how can a computer use what people name things to guess what things people mean when they name things ?" *In : Proceedings of the Human Factors in Computer Systems Conference, March 15-17, 1982.* Gaithersburg, MD. New York : Association for Computing Machinery, 1982. p. 251-253.

07 Leonard, L.E. : *Inter-indexer consistency studies, 1954-1975 : A review of the literature and summary of study results.* (s.l.) : University of Illinois Graduate School of Library Science, December 1977. (Occasional Papers 131).

08 *Library of Congress subject headings.* 11th ed. Prepared by Subject Cataloging Division Processing Services. Washington, DC : Library of Congress Cataloging Distribution Service, 1988, 3 vol.

09 Lilley, O.L. : "Evaluation of the subject catalog." *Amer. Doc.* 5 (1954) No. 2, p. 41-60.

10 Markey, K. "Integrating the machine-readable LCSH in online catalogs." *Inform. Tech. & Lib.* 7 (1988) No. 3, p. 299-312.

11 Saracevic, T., et al. : "A study of information seeking and retrieving. I. Background and methodology." *J. ASIS* 39 (1988) No. 3, p. 161-176.

12 Saracevic, T., Kantor, P. : "A study of information seeking and retrieving. II. Users, questions, and effectiveness." *J. ASIS* 39 (1988a) No. 3, p. 177-196.

13 Saracevic, T., Kantor, P. : "A study of information seeking and retrieving. III. Searchers, searches, and overlap." *J. ASIS* 39 (1988b) No. 3, p. 197-216.

14 Schabas, A.H. : "Postcoordinate retrieval : a comparison of two indexing languages." *J. ASIS* 33 (1982) No. 1, p. 32-37.

15 Stevens, M.E. : *Automatic indexing : A state of the art report.* Washington, DC : U.S. Government Printing Office, 1965. (National Bureau of Standards Monograph 91).

36-CLASS-1-F

L'Accès par sujets et le marché de l'information bibliographique en France

Suzanne JOUGUELET, *Conservateur, Directeur du pôle documentaire, Bibliothèque municipale de Lyon, France*

RESUME

La notion de marché s'applique désormais aux notices bibliographiques et le récent "Schéma directeur de l'information bibliographique" parle en termes commerciaux d'offre et de demande. Quels sont donc les producteurs présents sur le marché français ? Dans quelles conditions diffusent-ils leurs notices ?

Après un panorama général, on examinera plus précisément l'accès par sujets : varie-t-il selon les producteurs ? Dans quelle mesure y-a-t-il adéquation entre l'indexation reçue et les besoins des utilisateurs ? Les besoins de l'utilisateur "professionnel", à savoir le bibliothécaire, ne doivent pas se substituer à ceux du lecteur et l'objectif reste la réussite de la recherche par l'utilisateur final.

La notion de "marché" appliquée à l'information n'est pas toute récente, puisque depuis plusieurs années déjà, l'idée que l'information a un coût a fait son chemin, entre autres dans le domaine de l'interrogation en ligne des banques de données. Mais la commercialisation des notices bibliographiques, du moins en France, est un phénomène assez nouveau. Les bibliothèques françaises sont en train de rattraper leur retard en matière d'informatisation et, depuis le milieu des années 1980, le besoin s'est fait sentir d'acheter des données, d'abord dans l'idée d'avoir un "stock" de notices pour constituer un fichier informatisé, puis d'économiser du temps de catalogage en récupérant le travail fait ailleurs.

L'Association des Bibliothécaires français avait réuni beaucoup de collègues en juin 1987, lors d'une journée d'étude intitulée : "Le *Marché* des notices bibliographiques en France".

Dans cette nouvelle logique de circulation des données bibliographiques, l'accès par sujets occupe une place importante, pour deux raisons essentielles :

— le catalogage matière et l'indexation représentent une étape assez longue et coûteuse du traitement des documents ;

— à l'autre bout de la chaîne, la recherche par sujets est un mode d'interrogation privilégié pour les utilisateurs des centres documentaires.

Le contexte français de l'information bibliographique vient de faire l'objet d'une synthèse importante : il s'agit du "Schéma directeur de l'information bibliographique" décidé par le Ministère de la Culture en février 1988. Le groupe de travail chargé de l'étude a consulté de nombreux experts et a confié au Bureau Van Dijk une enquête sur le terrain auprès d'une trentaine de bibliothèques publiques. La première partie des résultats intitulée "Bilan et analyse" a été publiée en octobre 1988. La seconde concerne les enjeux et les orientations. "Le contexte se caractérise d'une part par une plus grande indépendance des acteurs en raison de la décentralisation, d'autre part par une mondialisation du marché de l'information bibliographique. Il convient donc pour le Ministère de se doter rapide-

ment d'un outil permettant une vision plus claire de l'avenir et des choix informatiques plus cohérents."

Après avoir étudié le développement de l'informatique dans les bibliothèques, le groupe de travail a examiné la production et la diffusion de l'information bibliographique sous l'angle de l'offre et de la demande.

Il a défini l'information bibliographique comme "tout ce qui est créé ou utilisé dans une bibliothèque en matière de descriptif "normalisé" de support documentaire", en distinguant dans cet ensemble de données trois niveaux :

— la notice catalographique
— l'indexation, les mots matières
— la localisation du document.

Nous examinerons d'abord brièvement l'ensemble des producteurs d'information bibliographique en France et les conditions de diffusion avant d'étudier plus précisément l'accès par sujets à cette information, variable selon les producteurs.

On peut dresser pour la France une liste des principaux producteurs fournisseurs d'information bibliographique :

— le Cercle de la Librairie, ou plus précisément sa filiale, la Société de Banque de données bibliographiques, pour *Les Livres disponibles* ;
— la Bibliothèque Nationale et sa base BN-Opale ;
— OCLC, utilisé par un certain nombre de bibliothèques universitaires françaises ;
— des réseaux de catalogage partagé : le réseau coopératif (ex-Libra) et le réseau Sibil France.

Le **Cercle de la Librairie** produit les notices des ouvrages commercialisés des éditeurs français et francophones. La base des *Livres disponibles* se monte actuellement à 280 000 titres. Elle est mise à jour chaque semaine par l'introduction des nouveautés (500 environ). Les notices ne sont pas en format MARC. Les deux types de clients (les librairies et les bibliothèques) utilisent les différents supports : papier, bien sûr, mais aussi informatique : *Electre-Bibliographie*, consultable depuis 1986 sur Minitel, avec un accès plus souple, sans abonnement, depuis mars 1988 (2,19 F la minute). Les *Livres disponibles* seront également sur CD-ROM, commercialisé à l'automne 1989.

La Société de banque de données bibliographiques propose des conventions aux bibliothèques, individuellement, ou à des serveurs régionaux, par exemple pour les notices courantes (ou nouveautés) et également pour les notices rétrospectives (par extraction sur le classement CDU des *Livres disponibles* et par date de parution : coût : de 2 à 4 FF HT la notice). Cette alimentation en notices se fait actuellement par bandes magnétiques ou disquettes. Le mode de récupération changera entre autre avec le CD-ROM.

Le tarif de l'abonnement annuel varie selon le nombre de notices utilisées dans l'année, entre 3 FF et 8 FF la notice HT.

La **Bibliothèque Nationale** a constitué depuis 1985 sa base bibliographique : BN-Opale. Elle contient environ 600 000 notices bibliographiques représentant tous les livres français entrés depuis 1975, les publications en série françaises depuis 1975 et les livres étrangers ainsi que les publications officielles depuis 1983. L'accroissement annuel est de 70 000 notices. Bientôt, tout le catalogue des livres imprimés depuis 1970 sera intégré à la base, ce qui la portera à un million de notices.

BN-Opale est également formée de 380 000 notices d'autorité, auteurs personnes physiques et collectivités, matières et titres uniformes.

Le document est traité dès son arrivée au dépôt légal et la notice dépôt légal est ensuite enrichie des points d'accès qui lui manquent (auteurs secondaires et vedettes-matières) pour donner lieu à une notice *Bibliographie de la France*.

Les notices bibliographiques sont disponibles sur CD-ROM pour la partie *Bibliographie de la France* depuis 1975. L'élaboration de ce CD-ROM a été étudiée en collaboration avec la British Library dans le cadre d'un projet soutenu par la Commission des Communautés européennes.

Les bibliothèques peuvent récupérer des notices rétrospectives en communiquant à la Bibliothèque Nationale des bandes comportant les clés d'accès des notices souhaitées. Les clés les plus fiables et les moins chères sont les clés numériques (ISBN ou numéro d'annonce dans la *Bibliographie de la France*). Elles peuvent aussi s'abonner aux notices courantes

soit du Dépôt légal = 2,50 FF la notice
soit de la *Bibliographie de la France* = 2,50 FF la notice
soit des deux : 3,70 FF l'ensemble.

La Bibliothèque Nationale fournit ses notices en format UNIMARC : elle établit une conversion de son format interne (INTERMARC) en un format d'échange UNIMARC.

Le **réseau coopératif** est constitué d'une soixantaine de bibliothèques, dont une majorité de bibliothèques centrales de prêt, et repose sur un catalogue collectif en format UNIMARC. Fin 1988, il comptait 352 000 notices dont 198 000 sont localisées. Pour 36 % ce sont des notices de la Bibliothèque Nationale (de 1975 à 1984) et, pour 15 %, de la Bibliothèque Publique d'Information.

Le contrôle de l'information bibliographique pour l'ensemble du réseau est confié au Centre national de coopération des Bibliothèques publiques, à Massy. Ce réseau compte en outre des bases régionales.

Les notices comportent le pavé ISBD, l'indice Dewey seulement pour l'analyse du contenu (pas de vedettes-matière), la localisation. Il n'y a pas de fichier d'autorité.

Un autre exemple de catalogage partagé est fourni par le **réseau Sibil-France** existant depuis 1983 et constitué d'un certain nombre de bibliothèques universitaires françaises. La base Sibil-France compte environ 100 000 notices. Elle est alimentée en partie par le réseau Sibil en Suisse.

Sibil utilise un format interne. Plusieurs fichiers-matière coexistent. Il n'existe pas, pour l'instant, de fichier d'autorité, mais la question est à l'étude.

Les réseaux de catalogage partagé n'ont, bien sûr, pas la même logique que les gros producteurs. Ils visent avant tout une circulation des données interne au réseau. Le problème peut être celui d'une qualité inégale des notices et de besoins pas forcément identiques dans toutes les bibliothèques du réseau.

La Direction des Bibliothèques, des Musées et de l'Information scientifique et technique a signé en 1987 un accord avec l'**OCLC** pour l'alimentation en notices rétrospectives et courantes de bibliothèques universitaires et spécialisées, après des tests sur le taux de recouvrement. En échange, la France fournit à l'OCLC les notices qui ne figurent pas dans sa base. C'est le SUNIST, Serveur universitaire national, qui gère l'utilisation des services de l'OCLC. Les bibliothèques cataloguent sur la base de l'OCLC en ligne pour le catalogage courant, ou en différé pour le catalogage rétrospectif.

Le format OCLC MARC permet de créer des enregistrements dans lesquels la francisation de certaines zones par des bibliothèques françaises est conservée dans les enregistrements de référence.

Mais pour les notices reçues, il faut traduire en particulier les accès-matières. Il semble que ces traductions n'offrent pas trop de difficultés dans la mesure où beaucoup de bibliothèques utilisatrices sont déjà spécialisées et où le vocabulaire surtout scientifique et technique est limité : exemple de la Bibliothèque de l'Université de Technologie de Compiègne.

La formation est indispensable puisqu'il faut apprendre les Règles de catalogage anglo-américaines et, éventuellement, la Classification de la Bibliothèque du Congrès.

Le choix d'OCLC comme réservoir de données bibliographiques et comme réseau de coopération a été fait essentiellement sur des critères économiques. Une notice récupérée reviendrait environ à 50 FF d'après les calculs du groupe d'utilisateurs français OCLC-Auroc.

Les bibliothèques françaises du réseau alimentent en même temps un catalogue collectif national.

Si le marché des notices prend ainsi des dimensions internationales, il peut aussi, inversement, couvrir une échelle moins grande que le territoire national : on trouve en France des bases bibliographiques régionales, par exemple Brasil dans la région Rhône-Alpes, qui réunit les informations de plusieurs producteurs nationaux, se propose comme serveur aux bibliothèques de la région et permet de constituer un catalogue collectif régional.

Le catalogage original apparaît de plus en plus long et coûteux, d'où la double idée de réservoirs de notices et de catalogage partagé.

Pour les réservoirs de notices français, le Cercle de la Librairie et la Bibliothèque Nationale représentent deux stades de production de l'information bibliographique :

— le Cercle est le seul à pouvoir donner l'information avant la publication, d'où un gain de rapidité ;
— la Bibliothèque Nationale décrit le document à partir du dépôt légal, ce qui peut entraîner certains délais, liés aux éditeurs, mais en revanche garantit l'exhaustivité. Ses noti-

ces font référence grâce à la qualité bibliographique accrue par le contrôle des fiches d'autorité.

Les réseaux de catalogage partagé ont surtout pour but la coopération ; leur problème peut être la qualité inégale des notices.

Le marché des notices entraîne des contraintes techniques, financières et juridiques :

— techniques : il s'agit surtout de problèmes de formats et d'interfaces à développer entre le logiciel du producteur et les logiciels de gestion des bibliothèques ;

— financières : les notices ont un coût variable selon qu'il s'agit d'une simple consultation ou de récupération, selon aussi qu'il s'agit de notices rétrospectives ou courantes : les bibliothèques sont-elles toutes prêtes à l'admettre et à payer ce coût ?

— juridiques : la notion de propriété des notices entraîne l'établissement de conventions entre les producteurs et les bibliothèques utilisatrices. En général la convention stipule un usage interne à la bibliothèque et exclut toute idée de revente.

Quels types d'accès par sujets proposent ces diverses sources de notices ?

L'accès par sujets est un élément qualitatif ajouté à la notice descriptive. Il représente une étape longue et chère ; il est donc intéressant à récupérer dans la mesure où on reconnaît sa qualité et éventuellement son utilisation possible dans un réseau.

Les notices du Cercle comportent deux accès par sujets, variant selon les produits proposés : le premier, par des indices CDU très larges, permet un classement systématique de la publication hebdomadaire *Les Livres de la semaine*, et sert également à organiser le volume sujets des *Livres disponibles*. La table des sujets de la CDU des *Livres disponibles* a été refondue pour une amélioration des accès. Dans le volume sujets, les rubriques sont organisées selon la CDU en 2.710 subdivisions dont on trouve les intitulés et les cotes dans la Table des sujets. Les mots significatifs sont extraits dans un "Index des Mots-clés" placé en tête du volume sujets : 14.000 mots. La CDU permet aussi de faire des extractions sur la base bibliographique, pour des notices rétrospectives.

Le second accès par sujets propose une approche beaucoup plus analytique par des vedettes-matières. Il est offert dans le produit informatisé *Electre-bibliographie* qui propose cinq accès (Titre, Auteur, Sujet, année de parution, ISBN) et dans le produit imprimé cumulatif annuel *Un an de nouveautés* avec un index sujets.

Par exemple, actuellement, si on cherche des documents sur la procréation médicalement assistée, on ne les retrouvera pas de la même manière selon les produits : dans *Electre-Bibliographie* et dans *Un an de nouveautés*, on aura un accès par "Procréation artificielle" ; dans *Les Livres disponibles* l'index des mots-clés ne donne rien à "Procréation", mais on trouve "Reproduction-Physiologie" : 612-6, et "Grossesse-Obstétrique" : 618-2.

Une évolution est prévue : le volume sujets des *Livres disponibles* sera constitué non plus à partir de la CDU mais à partir des vedettes-matières tirées d'une liste de référence. Cette liste s'intitule *Choix de vedettes-matières à l'intention des bibliothèques* (2ème édition 1987). Elle comporte 12.500 entrées noms communs et un certain nombre de renvois. Elle n'a pas une syntaxe très contraignante, mais a quand même une structure précoordonnée. Elle n'est disponible pour l'instant que par la version papier. Il n'existe pas de fichier d'autorité en ligne. Son utilisation n'implique pas de formation préalable.

Si on reprend l'exemple de la procréation, le *Choix de vedettes-matières* propose :

— Procréation : voir aussi Embryologie, Fécondité, et Reproduction

— Procréation artificielle.

Le langage-matière adopté par la Bibliothèque Nationale depuis 1980 est plus élaboré et plus contraignant. Il s'agit d'une liste d'autorité appelée RAMEAU (*Répertoire d'Autorité-Matière Encyclopédique et Alphabétique Unifié*), qui est un outil d'aide à l'indexation et à la recherche.

Elle a pour source les *Library of Congress Subject Headings* et adopte donc une structure précoordonnée. Elle est alimentée par le fichier d'autorité-matière de la Bibliothèque Nationale et gérée par un service du Ministère de l'Enseignement Supérieur : la Cellule Nationale de coordination de l'indexation matière.

Début 1989, RAMEAU comptait 43.429 noms communs, 26.654 noms propres, 18.438 noms géographiques, 57.802 termes exclus. La liste française comporte en effet les noms de personne et les noms géographiques.

RAMEAU est une base de données accessible en ligne et régulièrement mise à jour. Il est également édité deux fois par an sur microfiches.

La possibilité est donnée aux membres du réseau RAMEAU de faire des propositions de créations et de mises à jour. C'est la Bibliothèque Nationale qui valide les propositions. Quels sont ses utilisateurs ?

— un nombre important de bibliothèques universitaires, car la Direction des Bibliothèques a voulu favoriser un langage-sujets commun, dans la perspective d'un futur catalogue collectif

— le réseau des centres de documentation pédagogique

— des bibliothèques publiques (exemples : Lyon, Rennes)

La Bibliothèque Nationale est à la fois producteur et utilisateur de RAMEAU.

Celui-ci est un système riche en renvois, et un système vivant grâce à ce fichier commun de mises à jour.

Une formation est nécessaire pour le pratiquer : la "maintenance" intellectuelle de RAMEAU pour la validation des propositions, l'évolution de la terminologie, la formation, repose sur un nombre trop restreint de personnes et cela devra être résolu dans la perspective qui semble se dessiner d'une généralisation de RAMEAU.

Par définition, la logique de la récupération de notices voudrait qu'on change le moins possible les informations fournies et qu'on les intègre telles quelles, en ajoutant simplement des données locales. Mais la question est de savoir s'il y a **adéquation** entre l'information fournie et les besoins des utilisateurs.

L'indexation matière donnée par la liste du Cercle de la Librairie est jugée, en général, adaptée aux petites et moyennes bibliothèques, mais on y trouve de nombreuses lacunes.

Celle de RAMEAU est beaucoup plus élaborée et correspond aux besoins des grandes bibliothèques, des bibliothèques universitaires... Le nombre de vedettes et le réseau de renvois sont des points forts ; elle est toutefois jugée par certains comme trop complexe et lourde en charge de formation.

La possibilité de faire évoluer la liste en fonction des besoins des utilisateurs n'existe pas actuellement pour *Electre* ; par contre, le réseau RAMEAU offre une structure de gestion et de mise à jour permettant à la fois l'enrichissement du *Répertoire* et le maintien de la cohérence. Il faut souligner toutefois que l'équipe chargée du maintien intellectuel de RAMEAU au niveau national est trop réduite.

Les problèmes rencontrés par les bibliothèques qui reçoivent des notices sont divers :

— problèmes d'indices de classification : ni la Bibliothèque Nationale ni Electre ne fournissent d'indices Dewey, indispensables pour la grande majorité des bibliothèques publiques ;

— problèmes des Sections Enfants et Jeunesse pour les bibliothèques publiques.

Même la liste du Cercle demande des adaptations, dans le sens de la simplification de termes complexes ou de regroupements systématiques.

Les sections Jeunesse de la Ville de Paris, qui ont choisi RAMEAU, se posent également des problèmes d'adaptation.

Les bibliothèques font, en général, le choix d'aménagements et de multiplication de renvois plutôt que le choix d'une base bibliographique distincte pour le secteur Jeunesse.

— problèmes des domaines spécifiques : c'est-à-dire de l'utilisation d'une liste d'autorité encyclopédique par des bibliothèques spécialisées. Il se crée une tension entre le besoin d'un vocabulaire "pointu" dans un domaine et la nécessité de garder à la liste un caractère encyclopédique et cohérent.

Néanmoins, on peut améliorer la couverture d'un domaine : c'est le travail qui se fait, par exemple, pour RAMEAU

- En Histoire de l'Art, avec la Bibliothèque Forney (Bibliothèque de la Ville de Paris spécialisée en Art) et d'autres bibliothèques d'art.
- En Droit, entre autres par la Bibliothèque universitaire Cujas, avec les spécificités du droit français.

• En Technologie avec la Bibliothèque de l'Université de Technologie de Compiègne, etc...

Des thesaurus spécialisés permettent de faire des propositions de créations.

Le souci doit être alors de bien garder une vision d'ensemble du *Répertoire*.

— problèmes liés à la récupération de notices avec une indexation-matière différente de celle retenue par la bibliothèque (exemple de Sibil qui a adopté Rameau et récupère des notices de Lausanne avec une autre indexation-matière) ou dans une autre langue (exemple de l'OCLC avec les problèmes de traduction de *LCSH*.)

Tous ces problèmes posés aux professionnels ne doivent pas faire oublier la finalité de ces adaptations, à savoir la recherche par le lecteur.

Le développement des catalogues en ligne offre au public des bibliothèques de nouvelles clés de recherche et un nouveau type d'accès (par exemple à domicile par Minitel). On s'est aperçu de l'importance de la recherche par sujets (en général plus de 50 % des recherches).

La recherche par mots du sujet augmente le nombre de points d'accès et permet de remédier aux inconvénients d'une indexation pré-coordonnée, de même que la recherche booléenne. Mais ceci suppose un système informatique assez puissant, capable de gérer également l'interrogation par les formes rejetées.

Les enquêtes faites sur l'utilisation des OPAC montrent également les difficultés de consultation du catalogue sur écran (fautes d'orthographe, mauvaise utilisation des types de recherche, difficultés des recherches par dates, etc...). Les problèmes viennent aussi de la confusion entre deux types d'approche, une approche systématique et une approche analytique. L'étude du Schéma directeur en donne un exemple : "L'utilisateur effectuant une recherche par "Impressionnisme" dans Electre sera déçu de ne pas avoir aussi Claude Monet, ou, inversement, n'aura pas accès à tous les ouvrages généraux sur l'Impressionnisme. Les remèdes à cela peuvent être trouvés dans l'utilisation des formes associées, ou dans l'accès par les indices d'une classification.

Il semble qu'en France, on soit parvenu à un stade de redéfinition globale de l'information bibliographique.

Les orientations prescrites par le Schéma-Directeur définissent les scénarios ; le projet de "Bibliothèque de France" amène également à reconsidérer la production et la diffusion des notices dans le cadre d'un réseau national. Un élément jugé prioritaire est la constitution d'un catalogue national d'ouvrages, permettant de connaître les documents existants et leur localisation. Dans cette perspective d'un plan national de localisation et d'accès à la documentation, l'accès par sujets a une importance toute particulière. Au moment où on veut dépasser le stade d'une mosaïque de systèmes, le fait de parler un langage commun est, bien évidemment, essentiel.

RAMEAU offre l'avantage d'être déjà "parlé" par la Bibliothèque Nationale et les bibliothèques universitaires. Des bibliothèques publiques importantes (Ville de Paris, Lyon...) l'ont également adopté.

L'accent devra être mis désormais sur une utilisation optimale de ce langage par les lecteurs, avec une interrogation dans des termes les plus proches possible du langage naturel. L'apport des nouvelles technologies doit être orienté vers l'obtention rapide d'une réponse pertinente aux questions des utilisateurs.

38-CLASS-3-E

Building on PRECIS : Strategies for Online Subject Access in the British Library

Joyce Elaine BUTCHER, *The British Library, London, United Kingdom*
Ross TROTTER, *The British Library, London, United Kingdom*

ABSTRACT

Central to the British Library's Cataloguing Action Plan are two aims : 1) to reduce the costs of its cataloguing operations and 2) to achieve compatibility of access to its records both current and retrospective in an automated catalogue environment. A new approach to subject cataloguing is planned to make a significant contribution to these aims.

This paper describes the work currently being investigated and developed in the British Library to build on PRECIS (Preserved Context Index System) to achieve effective subject control and access to its bibliographic records whilst reducing the costs of its cataloguing operations.

1. INTRODUCTION AND BACKGROUND

1.1. In 1987, the British Library adopted a Cataloguing Action Plan aimed at two objectives :

1) to reduce its unit costs of cataloguing in order to handle current intake, to eliminate processing backlogs, and to anticipate the increase in UK publisher output forecast for the 1990s ; and
2) to achieve compatibility of catalogue records created throughout the British Library in order to aid access to the collections and to widen the coverage of the British Library's National Bibliographic Service.

The first phase of the Action Plan, that related to descriptive cataloguing, was implemented with effect from January 1988.

1.2. During the second phase, the British Library commenced an examination of its provision of subject data.

Investigations are currently underway to develop a new subject authority control system based bn PRECIS (Preserved Context Index System), the system used for the BNB MARC records created by the British Library. This follows from the work carried out earlier which decreases the level of specificity used in PRECIS application.

1.3. Two major considerations direct the development of the new subject system :

1) Cost-effective Control and Maintenance of Subject Cataloguing. In the current operational environment, there is no alternative means to achieving the first objective in the British Library's Cataloguing Action Plan other than by reducing the unit costs of current cataloguing. Changes in the application and maintenance of controlled subject data are targetted to make a significant contribution to cost reduction.
2) The Automated Catalogue Environment. Current and planned developments in the British Library assert the primacy of an automated interactive approach to control and access of our collections within the context of a catalogue environment which operates in an on-line or on-line like mode (e.g. OPAC, CD-ROM). The automated interactive catalogue is intended to meet the needs of Library-wide services to users, including that of an expanded National Bibliographic Service.

2. CHARACTERISTICS REQUIRED IN THE NEW SUBJECT SYSTEM

2.1

These considerations, based on the aims of the Cataloguing Action Plan, have lead to the identification of four required characteristics in the new subject system :

1) "Holistic" approach.

The system in its design and application must reflect the fact that in an automated interactive catalogue environment access is made to the whole of the bibliographic record and its various data elements. Subject information can be retrieved from many parts of the record and not solely from those areas traditionally regarded as subject access points, such subject headings and indexing terms. Titles, subtitles, and other data elements in bibliographic records also contain data useful for subject searches.

2) Stability.

The system must be controlled without deviation from the established framework to ensure the validity and consistency of the subject data over long periods of time with minimum maintenance whilst also allowing sufficient flexibility to admit new subjects.

3) Comprehensiveness.

The system must be able to handle all the subjects that occur in a comprehensive national collection and to support the integrated services based on the collection.

4) Harmonisation.

The new system must support a harmonised approach to subject access in order to allow the continued exploitation of the subject data which currently exists in the Library's bibliographic records, whether in a controlled form or in the form of keywords present in other data elements present in the records.

3. BUILDING ON PRECIS

3.1.

PRECIS was originally developed within automation programme for the British National Bibliography automation in an era when computers were first being used in library operations to support the production of traditional products and services such as separate subject indexes. A number of the features present in PRECIS are necessary only to enable the string of terms to be manipulated into sophisticated output in linear sequences in print and fiche media. These include the complex coding and role operators used to manipulate the linear displays of lead terms and qualifiers, to control typography, and to supply substitute phrases for reading the string upwards from lower lead terms, connective codes, or predicate transformations.

3.2.

When subject data is being searched online the distinction of terms as lead and non-lead becomes meaningless. Thus there is no need for the two line index entry for which the PRECIS system is so well known, nor for any rotation of entries to bring each component in turn into a lead position.

3.3.

Because the principal display of the subject data currently generated by PRECIS is a sequence of subject entries separated from the bibliographic records, data already present elsewhere in the bibliographic record has frequently been repeated in the subject string (e. g forms). With online searching, this duplication is both unnecessary and wasteful of resources.

3.4.

The use of names (personal and corporate) in PRECIS subject data has necessitated duplication of cataloguer effort. A name can have various functions in a bibliographic record — the person or corporate body can be an author or the subject of the work — but the name remains the same. In the present system used by the British Library the same names are raised twice — once in the name authority file and again in the subject authority file. This duplication is wasteful of cataloguing resources.

3.5.

However, inherent in PRECIS are three important features which the British Library wishes to retain and exploit in an automated interactive catalogue :

1) an open-ended, yet controlled and structured vocabulary that allows terms to be admitted as they are encountered in natural language,
2) subject statements, containing terms organised into a context-dependent order for maximum ease of comprehension,
3) an indexing management system that allows subject records to be re-used for subsequent new titles to achieve subject collocation, cataloguer accuracy, and maximum cost-benefit in application.

4. BASIC COMPONENTS OF THE SUBJECT SYSTEM

4.1. As currently envisaged the new subject system will have two major components :

1) an authority file of controlled terms and subject statements for use in bibliographic records
2) a network of related terms expressing a) vertical relationships from broader to narrower terms and vice versa, and b) horizontal relationships between coordinate terms and between used and non-used terms.

4.2.

These two components will result in a controlled indexing vocabulary with which complex subjects can be constructed in a consistent and meaningful manner, and in which the vocabulary of terms can be linked together in a thesaural network. It also allows for strict control to be maintained over the size of the file and the kind of terms admitted to it.

4.3.

To progress the work on the new system, the British Library is concentrating first on the development of a core file of authority records for subjects. The principal aim in the design and content of the subject authority records is to promote maximum recall of materials, while other parts of the record are relied on to supply the precision required to filter out unsought items.

4.4.

Following the establishment of a core file of subject authority records for use in bibliographic records, we will begin work on developing the network of related terms. This development work will take account the results of a project due to report in August 1989 entitled "Providing Subject Access to a Library Bookstock". This project is being carried out by the Middlesex Polytechnic under a grant awarded in September 1988 by the British Library Research and Development Department to complete earlier work on using the PRECIS reference file to enhance subject access in bibliographic records.

4.5.

The principal aim of the network of related terms will be to tie the system together into a unified whole by means of a thesaural network of references, which in an ideal situation will be approached through automated interactive access via online public access catalogue (OPAC). Once a set of the relevant related terms has been obtained through entering the network under the sought term, it will then be possible to use the entire set of related terms to search the all data elements in the bibliographic records whether or not these records contain the current controlled subject data or are in retrospective files which lack controlled subject data or contain subject data from other systems. It must be stated that this ideal is at present some way from attainment, but its potential for achieving effective subject access in files lacking controlled subject data or files containing various forms of subject data is considerable.

5. THE SUBJECT AUTHORITY FILE

5.1.

Two main types of subject authority records are proposed for inclusion in the Subject Authority File :

1) Term authority records consisting of either unitary expressions (single words) or compound expressions (more than one word) of simple subject concepts.
2) String authority records consisting of combinations of two or more terms (as represented in term authority records) expressing complex subject concepts.

5.2.

The term authority records are intended to control the vocabulary and to provide the framework for creating the network of linked terms.

5.3.

The string authority records are intended to allow for pre-coordination of subject data which has high potential for re-use in bibliographic records thus supporting efficient application and control, in addition to aiding the effective recall of books on the same subject. String authority records will be constructed by citing the terms in a consistent order according to the principle of context dependency developed in the PRECIS system. The ordering of terms in a subject statement, based on the role each plays in relation to the other, is the fundamental feature of PRECIS and will be familiar to those who have studied or used the PRECIS system.

5.4.

The new subject authority records will form one part of a larger file of authority records which includes personal and corporate names. In order to avoid wasteful and unnecessary duplication, subject authority records will express either topics as subjects or geographic regions, areas, and features as subjects ; but personal and corporate names (including names of corporate political jurisdictions) will no longer form part of the subject authority records. When persons or corporate bodies are the subject of an item, the name form will be controlled by name authority records, which will be used in a separate subject field on the bibliographic records.

6. CURRENT DEVELOPMENT WORK

6.1.

Investigation and development is underway to define and establish policies to control the level of specificity permitted in subject authority records in line with the principal aim stated at 4.2 above that the content of the subject authority records must be designed to promote maximum recall while relying on other parts of the bibliographic record to carry out the function of precision. At this stage, we have identified two areas where strict control will be necessary to limit the size of the subject authority file. These are 1) levels of differentiation of terms and 2) use of geographic regions, areas and features.

6.2.

It is currently proposed that as a matter of policy differentiation of terms will be kept to a minimum level in the new system rather than allowing this to proceed unchecked, as happened with the use of PRECIS earlier. Constructions such as "Carbon-chromium vaccuum arc remelted steel bars" with difference after difference piled on a single focus, will no longer be permitted. In the new system it is likely that only one level of differentiation will be allowed, thus "Vocational education" will be used, but not "Competency-based vocational education".

6.3.

It is also proposed to extend the policy for handling personal and corporate names (*see* 5.4 above) to geographic places and features. Geographic terms will in future be raised as separate geographic authority records. A geographic term record will function in exactly the same way as a topical term record and will thus be capable of being linked to related terms elsewhere in the network of related terms ; for example, Lincolnshire can be linked to England as a broader term and to Lincoln as a narrower term. Geographic string records will be used for only one purpose — to allow the addition of broad dates or some other historical designation. This will be the only permitted use of dates in subject authority records — dates will not be included in topical subject authority records.

6.4.

The separate control of geographic terms also leads to a proposed simplification in dealing with places used as adjectives. In PRECIS a distinction has been made between topic *in* a place (for example "France. Science") and topic *from* a place (for example "French paintings"). In the new system we are proposing to deal with these in a uniform manner by assigning separate term authority records "Science" and "France" to an appropriate bibliographic record to express the subject concept for science in France, and "Paintings" and "France" to an appropriate bibliographic record to express the subject concept for French paintings. This will lead to a significant reduction in the number of complex string authority records that will need to be created. It will still be possible for languages to be used to differentiate term where needed without causing ambiguity ; for example, "French dictionaries" must mean dictionaries in the French language, and cannot mean dictionaries published in France. It will still be possible to express quite complex subject concepts using these simple building blocks — thus poetry in the English language by Canadian writers can be expressed by the use of a topical term authority record "English poetry" and the geographic term authority record "Canada".

7. CONCLUSION

7.1.

The system which is described in this paper is still largely being investigated and developed, and much work remains to be done. But the principles on which it is based and its major features are clear. We are planning to develop the system on the facilities available in the software known by the generic name WLN. Access for the Library's users will be by means of an OPAC being developed for the Library's new building in London.

7.2.

The aim of the subject authority system itself is to promote the maximum recall of subject data, which the use can then refine further by accessing other data in the bibliographic records. The system that emerges from this work will allow maximum satisfactory subject access while being amenable to control in both growth and application as aimed for the Cataloguing Action Plan.

JOUVE - Paris

STAND 38/45
HALL TERNES

Saisie de bases de données :

La solution pour la reprise de votre fonds bibliographique

SAISIE JOUVE

Bases de données
Catalogues de bibliothèques
Dérivation des fichiers de référence

SAISIE CLIENT

Réseau commuté
Lignes spécialisées
Transpac

LECTURE OPTIQUE

Reconnaissance des caractères

NUMÉRISATION

Mode image haut débit
Compression standard CCITT

DISQUETTES/BANDES MAGNÉTIQUES

Gestion

STRUCTURATION/CONTRÔLE/INDEXATION

Edition multimédia

PAPIER

Photocomposition
Tirage laser
Impression offset
Façonnage et routage

VIDÉOTEX

Recherche multicritères
Recherche par arborescence
Téléchargement
Commande et paiement par carte bancaire

CD-ROM

Annuaires
Bases bibliographiques
Catalogues
Dictionnaires...

JOUVE c'est un service complet à la pointe du progrès technique, une solution adaptée aux besoins de chaque client, une intervention sur un ou plusieurs maillons de la chaîne.

L'imprimerie JOUVE fondée en 1903 représente 500 personnes dont un département études et développement informatique de 40 ingénieurs et techniciens

Jouve
SYSTEMES D'INFORMATION

43

LA TRADITION DES TECHNOLOGIES DE POINTE

Siège social : 18, rue St-Denis, B.P. 414-01, 75025 PARIS Cedex 01 - Tél. et Fax : 42 33 17 99

les ateliers informatiques du centre

24, RUE MARC SEGUIN
7 5 0 1 8 PARIS
TÉL . 33 (1) 40 38 48 00

CONVERSION RETROSPECTIVE DE CATALOGUES

Intervention dans la bibliothèque

inventaire du fonds
équipements de codes à barre et de système antivol
catalogage des documents
création des notices de données locales

Intervention aux AIC

analyse et préparation des notices bibliographiques
saisie et vérification des notices
édition de contrôle
corrections
interfaçage du fichier

NUMERISATION

- Photos couleurs
- Livres rares et précieux
- Station de gestion de documents "JARCHIVE"

RETROSPECTIVE CONVERSION OF CATALOGUES

Intervention in the Library

- *system review of collections*
- *bar code and theft-prevention equipments*
- *cataloguing of documents*
- *creation of holdings records*

Intervention at AIC

- *analysis and preparation of bibliographic records*
- *keying and control of bibliographic records*
- *control listing*
- *corrections*
- *file interfacing*

SCANNING

- *Color snapshots*
- *Rare and precious books*
- *Documents management working station "JARCHIVE"*

IFLA 1989 Stand T 34

IFLA

Division: BIBLIOGRAPHIC CONTROL

Section/RT: Cataloguing

40-CAT-2-E

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☒ This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

THE COST OF CATALOGUING

By
Geneviève Boisard
Manager, Sainte-Geneviève Library
Paris

IR053760

Key words: Cataloguing. Costs.

For internal use only:

Meeting No: 126

SI: yes/no

Estimated number of participants in the meeting:

COPIE REALISEE SUR COPIEUR RANK XEROX

Summary

A survey of approximately twenty French libraries was conducted for the purpose of estimating the cost of a bibliographic entry. Whether the work is manual, automated or performed on a microcomputer, the item required to create an entry depends on the type of library. Public libraries devote less time to cataloguing than university libraries, and the national bibliographic agencies, obliged to carry out numerous verifications, allocate a comparable amount of time. The cost of the entry depends on the level of the cataloguers, the library's organization, and the rate of retrieval of entries from existing databases. Staff costs are much higner than computer costs, with the result that we must focus on recovering the entries of the national bibliographic agencies in order to make our investments as cost-effective as possible.

COPIE REALISEE SUR COPIEUR RANK XEROX

THE COST OF CATALOGUING

An appraisal from the situation of some French libraries

INTRODUCTION

This study was conducted on the occasion of the 1989 IFLA conference on libraries and the economy, but the survey on which it is based was done at a time when French libraries, like many others throughout the world, were looking into their operating costs and the advisability of computerization as a means of reducing those costs, or at least of improving their performance while maintaining reasonable operating costs.

Cataloguing has long been considered one of the most necessary and the most technical of the activities carried out by information professionals. It used to be the only means of informing the reader of the library's stock so that he or she could access the desired document. It also had to be a tool for compiling bibliographies and publishing major catalogues. Traditionally, much time was accorded this technique during professional training. It has been the subject of numerous national discussions and international conferences, and has had its own celebrated experts and theorists.

When cataloguing was done on a small scale, each library often had its own rules, for both descriptive cataloguing and subject catalogues, and the most important thing was to comply with the "house" rules so as not to compromise the

COPIE REALISEE SUR COPIEUR RANK XEROX

uniformity of the files. The necessity of compiling union catalogues demanded a degree of harmonization, and the rules themselves have undergone successive reorganizations and reflected successive standards.

With the documentation explosion and the general impossibility of controlling world production, there arose the notion of universal bibliographic control, based on the sharing of inventory work between the information-generating countries. The result of this work sharing and its consequent interchange of data was a need for agreement on the form of bibliographic description, which in the end produced the ISBD family.

The idea of being able to cover and re-use the work of others was for a long time more possibility than fact. Thanks to advances in computer technology, what was once only an inspired premonition is now reality.

For manual, small-scale cataloguing, in which each institution catalogued for its own needs, investments in equipment (typewriters, files) were low, and roughly proportional to the number of entries to be produced. Staff costs, which as we shall see later are often considerable, seemed so inevitable that there was no real attempt to measure them. It was only with the recent world-wide phenomena of budget restraints and downsizing that questions began to be asked. In the great English-language libraries, the Library of Congress and the British Library, detailed cost studies were conducted.

COPIE REALISEE SUR COPIEUR RANK XEROX

Staff costs for French public libraries, which are paid by the State, have traditionally been hidden. To my knowledge, they were calculated for the first time in the study by Gérard THIRION.

Furthermore, a false conception of public service has often been an obstacle to estimation of these costs. It was understood that the price to be paid should not call into question services that were deemed indispensable, and staff looked askance upon any cost appraisal of the work provided - which amounts to acknowledgment of an uneasy conscience.

Investments are enormous in computerized cataloguing, both for hardware and for software. We are moving into the industrial phase, and must completely rethink our problems if investments are to be cost-effective. It is absolutely necessary to re-use computerized entries produced by others, and consequently to standardize the rules used and formats adopted. The decline in staff costs must offset the cost of computerized entries, which is conspicuous. This is a matter which affects the very organization of the library; everything must contribute to optimum performance, which is attained, however, only after a cautious beginning and at a certain level of growth. At that point there is a change in the skills required. When one is content to retrieve entries from a bibliographic data base, there is no need for a detailed knowledge of the cataloguing rules. Searching in printed catalogues assumed knowledge of both filing and cataloguing rules; online searching bypasses these subtleties, and numeric access, such as through the ISBN, is by far the most reliable, when available.

COPIE REALISEE SUR COPIEUR RANK XEROX

The most prompt responses came from libraries using manual cataloguing.

The computerized libraries, on the other hand, were slow in responding, particularly those that work on big systems. Automation is a recent development in France, and in many cases it may be that the shakedown period has not yet been completed, capital costs have not yet yielded all the expected results, and the size of the networks is not yet optimum. It is also possible that insufficient consideration has been given to the reorganizations required.

With respect to time calculation, two studies were of great help to me as reference sources. The first was done by Gérard THIRION at the Nancy university library in 1976, and the second by Albert POIROT in 1988 at the Dijon public library, which has a classed catalogue. While conducted at different times and in different contexts, both of these studies attempted to determine the time spent on the tasks carried out in a library. The results at which they arrived are comparable to those of my own survey, and indicate to me that I was not far wrong in my calculations, which nonetheless remain open to question. It is in fact not always easy for libraries to give accurate estimates of the time spent on the various cataloguing tasks. Complementary surveys have made it possible to correct estimates that were too high.

For the computer cost of entries, I made much use of a document produced in 1988 by Catherine LUPOVICI and Patrice PENNEL at DBMIST (Libraries, Museums, and Scientific and Technical Information Branch), which brought forward the data to

COPIE REALISEE SUR COPIEUR RANK XEROX

be taken into account, the user fee variations in existing networks, and the predominant influence on costs of user performance and the manner of using the system.

I also found the study be Béatrice ESTEOULE on the Mobicat assessment (June 1988) very useful.

Furthermore, Lucia RATHER at the Library of Congress and Andy STEPHENS at the British Library kindly sent me cost studies which proved invaluable references.

For the Bibliothèque nationale, I was able to use a very detailed study by Christian LERIN, head of the informatics service, who in October 1987 reported on the computer costs of producing entries, taking into account hardware and software investments and operating and production costs. The relatively low costs at which he arrived are due largely to the fact that the Bibliothèque nationale was able to load into its databases a great many computerized records that already existed.

Computerized catalogues are created by means of two techniques: loading of records created entirely by an external source, and original cataloguing. All existing systems use these two techniques, although in varying proportions.

COPIE REALISEE SUR COPIEUR RANK XEROX

In a relatively large number of cases, French libraries have chosen to catalogue independently on their own system. Outside sources are used only to build the initial version of the file, for which existing manual entries are replaced with computer entries taken from elsewhere. Current cataloguing is then done on a continuing basis on the system selected.

This is the situation in the many public libraries that have recently become automated: Lyons, Caen, Marseilles, Aix-en-Provence and so on.

It derives from the fact that the big cataloguing networks are not yet widespread in France; it may well be asked whether this type of cataloguing will last.

Others have chosen network cataloguing - for example, the university libraries that have joined the Sibil-France network. Here the initial contribution is limited to records produced by the Swiss network of the same name, pending possible agreements with the Bibliothèque nationale. Each of the participating libraries retrieves what it finds and catalogues what it does not find. Given the relatively small number of participants, the production rate remains high; it varies according to the nature of the participating libraries' holdings. In general, only current cataloguing is computerized. There are not enough entries in the network to warrant massive conversions of retrospective catalogues.

Finally, in other cases, priority is given to records derived through access to external sources that are very voluminous or very relevant.

COPIE REALISEE SUR COPIEUR RANK XEROX

The university libraries that chose to work on OCLC have found this a rich bibliographic base because it yields a high hit rate for their catalogues. As centres for thematic acquisitions, their foreign holdings were very well represented in OCLC. As a result, their retrieval is sizable; new entries are made for French works and for subject headings in French.

At the Sainte-Geneviève Library we have decided to work on the Bibliothèque nationale's BN-OPALE database. Although far less rich than OCLC, this base was particularly suited to our holdings in view of a hit rate of over ninety per cent. Encyclopedic and nonspecialized, Saint-Geneviève is a depository library linked with the Bibliothèque nationale, and often purchases the same foreign works as the latter.

THE COST OF CATALOGUING DEFINED

Two principal elements enter into the cost of cataloguing: staff costs and equipment costs. For computerized cataloguing, the latter includes machines, software and telecommunication costs.

- Staff costs

Staff costs are the easier to identify. Estimates were made of the time spent on the various cataloguing operations: descriptive cataloguing, editing the entry, creation of author and subject headings, proofreading and quality control; typing

COPIE REALISEE SUR COPIEUR RANK XEROX

and card filing in the case of manual cataloguing; administration of the database and management of the authority files in the case of the large co-operative systems.

I asked the libraries to estimate this time in terms of number of positions the time spent by different categories of staff for the tasks listed above. When cataloguing is not a full-time occupation, such an estimate is not very easy to make and calculations are necessarily approximate. In some cases, the estimates are clearly high.

Using the work time for each library, we divided the full-time equivalents by the number of entries produced in order to determine the time spent on each operation.

In spite of uncertainties due to possible errors in the initial estimate, the resulting figures seem to be relatively consistent.

There is fairly little variation in the time required to create entries, whether the system be manual, semi-manual or computerized. The same applies to editing entries and to quality control. The major variations, requiring up to twice the time in the same library group (engaged in manual, semi-manual or computerized cataloguing as a network) can be explained by the level of cataloguing (supersimplified or supersophisticated), the organization of the workflow, or the degree of staff motivation. The time available for this task is probably another factor - a familiar phenomenon in other fields of activity. Just as a women

COPIE REALISEE SUR COPIEUR RANK XEROX

employed outside the home spends far less time on household tasks than a homemaker, so small teams with excessive workloads catalogue more quickly than larger teams which have cataloguing as their principal activity.

Consequently, the average cataloguing speed is higher in public and regional lending libraries than in university libraries, and the relatively long cataloguing time at the Bibliothèque nationale, as in other national bibliographic agencies, is explained by the specialized staff who are required to make numerous checks and are inclined to be perfectionists. Apart from the actual editing of the bibliographic entry, much work is done on researching and establishing the authority entries.

All systems considered together, cataloguing requires an average of one hour 41 minutes per entry, but time varies a great deal according to the type of library. For libraries that do manual cataloguing, it may range from 36 minutes for a regional lending library that catalogues many simple works and for which the catalogue is not a critical tool, to four hours for a university library with sophisticated indexing, many difficult works to catalogue, and productivity that is not very high.

Cataloguing on microcomputer, which provides a full set of cards, ready for filing, from a single record, reduces the average cataloguing time. The university libraries that have adopted the Mobicat system have an average time of one hour 8 minutes per entry.

COPIE REALISEE SUR COPIEUR RANK XEROX

In both of these cases, the times indicated include descriptive cataloguing, subject indexing, and filing.

When cataloguing is computerized, filing disappears, but machine-readable cataloguing takes longer and is more complicated than the process of creating an ISBD entry. For public libraries that do only original cataloguing, the time spent varies between 44 minutes and one hour 13 minutes.

For university libraries working in networks, everything depends on the organization and on the rate of entry creation compared to the hit rate on pre-existing entries.

The two university libraries that responded to the questionnaire work on the Sibil network and OCLC respectively. With creation rates of 60 to 70 per cent and hit rates of 40 and 30 per cent, their average times are very close, at one hour 30 minutes and one hour 34 minutes per entry.

Since they have not been members of the network for long (since 1984 and 1987), we may expect their performance to improve.

The Sainte-Geneviève Library's experience in deriving almost all of its cataloguing is still too recent (January 1989) to provide any conclusions. The time spent at the terminal to derive an entry is 3 minutes 24 seconds, but to this we must add the time required for the Dewey indexing and original cataloguing of works not found, which has not yet started.

COPIE REALISEE SUR COPIEUR RANK XEROX

Separate attention must be given to the national bibliographic agencies, which do high-quality original cataloguing as well as work on the authority files and database maintenance. The average time at the Bibliothèque nationale is 2 hours 56 minutes per entry, which is close to that at the Library of Congress, where the same operations (descriptive and subject cataloguing, authorities) require 2 hours 53 minutes.

Looking at the breakdown of time spent in creating an entry, one notes that the portion devoted to the work's description increases with the system's degree of automation.

	Cataloguing		Authority	Filing
	Descriptive	Subject		
Manual system	25 to 29%	14.5 to 22%	0	20 to 30%
Semi-computerized (Mobicat)	47 to 65%	19 to 28%		16 to 25%
Computerized				
BN, Bibliog de France	72%	13%	15%	0

The time spent on filing is offset by that spent on database management and authorities.

The staff cost of the entry was calculated from the budgetary cost of each position at the 1989 rate. The average annual expenditure for each category -

COPIE REALISEE SUR COPIEUR RANK XEROX

pay, plus allowances, family pay supplement and social insurance contributions - was estimated at:

- 198,567 FF for professional staff (librarians)
- 146,508 FF for technical staff (library assistants)
- 103,932 FF for category C staff (typists, stack employees and so on).

For libraries with manual cataloguing, the cost of an entry ranges between 63 and 441 FF. The average for public libraries is 151 FF, and for university libraries 257 FF.

The university libraries using the Mobicat system on microcomputer have an average cost of 125.35 FF, and those that catalogue on a computerized network a cost of 165.25 FF. As for the Bibliothèque nationale, an entry for the Bibliographie de France costs 272.85 FF, work on authorities included; this is comparable to the costs calculated at the Library of Congress or the British Library.

Cost of the entry

	Manual system	Microcomputer	Computerized	Network
Public libraries	151 FF		76.30 FF	
University libraries	257 FF	125.35 FF		165.25 FF
BN, Bibliog de France			272.85 FF	

COPIE REALISEE SUR COPIEUR RANK XEROX

The cost of the entry varies for each institution, depending not only on time spent, but also on breakdown of staff categories involved.

For example, while requiring a half-hour less time (1 h 4 m versus 1 h 37 m), an entry at the Sainte-Geneviève Library has a higher staff cost (126.96 FF versus 116.40 FF) than one at the Colmar public library, because it demands far more work by professional staff (25 m versus 3 m) and far less work by category C staff (2 h 30 m versus 46 h 15 m).

Here we have two different conceptions of the importance of cataloguing; both are no doubt defensible, but their financial implications must be measured. The difference between the two libraries stems from the status of the subject catalogue, to which the professional staff at Sainte-Geneviève devote a great deal of time and which they intercalate; this is not the case at Colmar.

- Computer costs

Relatively simple to calculate for libraries working independently on their own system, the computer cost of entries is difficult to determine for libraries working in a network. Charges are calculated differently from one system to the next, and comparisons are risky.

As we have seen, one must distinguish between systems that permit maximum hit rates and those that require a substantial rate of new record creation, while taking into account the fact that as the size of the bibliographic database and the number of participants increase, the creation rate tends to decrease.

COPIE REALISEE SUR COPIEUR RANK XEROX

Furthermore, like staff costs, computer costs depend on the efficiency of the cataloguers - not simply the number of entries produced per hour, but also capacities for making optimum use of the system, use of slack periods, co-ordinated use, few log ins and log outs, and so on.

Finally, we must specify that the computer cost studied is the cost paid by the user library. It may be quite different from the real cost, whether because the network reserves a profit margin for its own operation and investments, or alternatively because it has a fee policy that is below real cost.

In all cases these are actual costs, which may vary a great deal between libraries in the same system, and not theoretical costs.

The only definite data that we have available comes from two studies, one done for the Bibliothèque nationale, and the other by Béatrice ESTEOULE, of the Libraries Branch (DBMIST), reporting on the Mobicat operation.

At the Bibliothèque nationale, Christian LERIN's study of October 1987 took into account investment, hardware, software, studies, and operating costs. It arrived at the following costs:

25 FF per entry for CNEPS periodicals

33.42 FF per entry for sound recordings (LEDA database)

63 FF per entry for monographs (BN OPALE database)

COPIE REALISEE SUR COPIEUR RANK XEROX

In June 1988, Béatrice ESTEOULE estimated the technical cost of the 80,000 entries produced by the Mobicat operation. This local cataloguing system has provided university libraries with microcomputers equipped with cataloguing software that produces bristol cards ready for filing and with diskettes for subsequent loading.

If the "technical" cost is 4,835,200 FF for 80,000 entries, the cost per entry is 60.44 FF; the local computer cost varies from 8.15 FF to 43.60 FF, depending on the speed of work.

In the networks, user fees can be determined on the basis of the real consumption of computer resources, but most often they take the form of a contract price, which can allow a potential user to estimate the cost to be paid for one year.

Nonetheless, prediction is often difficult, for the implementation of a computerized cataloguing system involves a rather lengthy phase of installation, training, shakedown and loading before the system is fully operational. Few French libraries have actually reached this stage.

The cataloguing networks use two main systems to determine user fees.

- Annual lump sum per work station

This is the case with the Sibil-France network, which requires of its participating libraries an annual lump sum of 15,000 FF per terminal. Similarly, the Bibliothèque nationale exacts a monthly charge of 1,000 FF per terminal from the Sainte-Geneviève Library.

COPIE REALISEE SUR COPIEUR RANK XEROX

In this situation, of course, if the libraries want to minimize costs, they have to make a real effort to organize and centralize cataloguing in order to make full use of terminals. Telecommunications expenses are charged to the libraries.

At present, the computer cost plus the telecommunications cost at the Sainte-Geneviève Library is 1.20 FF per entry. At the Monpellier-Sciences university library, the computer cost can be estimated at 5.80 FF per entry.

- Itemized payment procedure

This is the case with OCLC, which bills the first update (that is, the derivation of an entry), offline products and statistics, and credits the participating library for every new entry created.

For France, OCLC's present fees are 12.60 FF for each derived entry and 2.50 FF credit for each entry created; local computer costs plus telecommunication currently come to between 24 and 32 FF.

CONCLUSION

When I began this study, I did not hope to arrive at a precise figure for the cost of producing one entry. Only the big systems, in total control of their costs, have succeeded in doing this. Even though the figures given are

COPIE REALISEE SUR COPIEUR RANK XEROX

approximate, it is clear that staff costs make up a considerable proportion of the cost of an entry, compared to computer costs. We have seen that, thanks to automation, certain staff costs, such as those for the production of added entries and filing, are disappearing. Others have newly appeared, such as those for database or authority file management. Systems which did not take these into account at the outset have suffered the consequences. However that may be, it seems that the cost of creating an entry is sufficiently high for duplication to be carefully avoided. Retrieval from the source database of maximum quality, that of the national bibliographic agency when available, should become the rule.

Substantial savings are possible using this means. However, at least in France, where the public library staff are paid by the State or the local community, these savings are not discernible in the institution's budget. But then, computer costs are charged to these budgets. It is important that libraries be assisted by the supervisory authorities, so that computerization does not result in a simple transfer of costs to the libraries.

We have yet to fully realize the benefits possible through the interchange of computerized data. We still have to change ways of thinking and promote the new technologies. We must also promote the Unimarc format and work on the interconnection of systems in networks. In this way, through work sharing, we will be able to have catalogues of better quality at acceptable costs, with opportunities for information research that were previously unknown.

COPIE REALISEE SUR COPIEUR RANK XEROX

Bibliography

ESTEOULE, Béatrice. - Mobicat subject field distribution. Paris: DBMIST, Library modernization office, June 1988 (unpublished).

LERIN, Christian. "Les coûts informatiques de production de notices." Paris : Bibliothèque nationale, Service informatique et organisation, October 1987 (unpublished).

LUPOVICI, Catherine and Patrice PENNEL. Response to questions asked of the DBMIST [on the cost of entries] at the meeting of university library managers on December 9, 1987. Paris : DBMIST, 1988 (unpublished).

POIROT, Albert. "Le circuit du livre : Tableau pour la section d'étude et la section lecture publique." Dijon : Bibliothèque municipale, November 1988 (unpublished).

THIRION, Gérard. "Situation des bibliothèques françaises" in Bulletin d'informations, Association des bibliothécaires français, No 98, 1st quarter 1976, p. 7-38.

COPIE REALISEE SUR COPIEUR RANK XEROX

IFLA

Division: BIBLIOGRAPHIC CONTROL

Section/RT: BIBLIOGRAPHY

104-BIBL-5-E

MANAGEMENT AND USE OF NAME AUTHORITY FILES (PERSONAL NAMES, CORPORATE BODIES AND UNIFORM TITLES): EVALUATION AND PROSPECTS

by

Marcelle BEAUDIQUEZ,

Head of the Centre de coordination bibliographique et technique (CCBT), Bibliothèque nationale, Paris, France

and

Françoise BOURDON,

Conservateur in charge of personal name authority file at the CCBT, Bibliothèque nationale, Paris, France

IR053260

For internal use only:

Meeting No: 102

SI: yes/~~no~~

Estimated number of participants in the meeting: 65

COPIE REALISEE SUR COPIEUR RANK XEROX

1. THE BACKGROUND

1.1 PREVIOUS STUDIES

Fifteen years ago in one of the basic texts of UBC, our colleague, Dorothy Anderson, wrote that one of the responsibilities of a National Bibliographic Agency was to establish "the authoritative form of name for its country's authors, both personal and corporate" [1]. Recommendations 13 and 15 of the 1977 Paris Conference on National Bibliographies also state that a National Bibliographic Agency : "should maintain up to date lists of authorized entries both for national authors (personal and corporate) and uniform titles according to international recommendations" and that"special projects should be started to promote international bibliographic standards and guidelines regarding control of main headings which could apply to both manual as well as automated systems."[2]

During the IFLA Congress held in Brussels in 1977, the IFLA International Programme for UBC, the sections on Cataloguing and on Information Technology decided to make recommendations for the establishment of authority files and the international exchange of authority information (these dealt mostly with automated authority files).

A questionnaire designed to collect pertinent information on authority files (i.e. content, source of data, maintenance and distribution) kept by various national bibliographic agencies was then circulated to 85 countries. Forty agencies answered and the results were presented in a paper in 1978 which unfortunately was never published.[3] After noting that the detail of the content of authority records varied greatly, the report stressed the necessity to define the different elements making up an authority record so that those libraries unable at that time to exchange data (i.e. most of them) could offer complete authority records in the future. The report also underlined the need to develop a UNIMARC format for the exchange of authority data.

Therefore, the exchange of automated authority files became the main concern although nothing in its conclusions linked this report to the UBC Programme which was then in full expansion. In particular, there is no reminder of the fact that the maintenance of authority files by a given bibliographic agency implies a particular treatment of its national authors, for example. Following the report, the same participants (i.e. Sections on Cataloguing and on Information Technology with the support of the IFLA International Programme for UBC) established a Working Group on an International Authority System, in 1979.

The Working group fulfilled its objectives with the publication of Guidelines for Authority and Reference Entries (GARE)[4] in 1984, the results of a survey circulated among 300 documentation agencies and national libraries. GARE is meant to play the same role regarding authority records as the ISBD with bibliographic description. The guidelines are designed to define the data elements to be included in an authority record (i.e., main headings, cross-references, related headings and notes), assign an order to the elements and specify a system of punctuation for the elements in the entry. GARE, however, does not prescribe the actual form of headings, nor does it prescribe punctuation that is internal to those elements.

Instead it refers to recommendations on the subject found in other IFLA UBC International Programme Publications.
While GARE does indeed explain how to establish an authority record, it does not even mention the idea that the responsibility for creating authority records should be shared among national agencies. Indeed GARE establishes the principles of an international authority system "to satisfy the bibliographic needs of libraries", thus reaching far beyond the case of the sole national bibliographic agencies. We should mention here that GARE stresses the need to develop the UNIMARC format for the exchange of authority data in a second phase and in a third phase to develop the methods for the efficient and effective exchange of authority data. Let us bear in mind that the first version of UNIMARC(A) should be come available at the end of this year.

2 WHY A NEW SURVEY ?

In 1985, one year after GARE was published, the Bibliotheque Nationale in Paris started work on the authority files created for the online bibliographic data base called BN-OPALE (i.e. authority files for personal names, corporate bodies, uniform titles as well as subject authority files). Although the staff members who ended up working on these different authority files had long experience in descriptive cataloguing, they were for the most part unpractised in working on authority files. Their first move, therefore, was to inquire both about existing international recommendations and about files already created abroad which they could obtain on microfiche. They were rather disconcerted by what they saw:

- The content of authority files produced by different countries is partly redundant and sometimes contradictory making it difficult to determine which one should be used for a given author.

- The authors' nationality is not given (at least it does not appear on the microfiche). This runs counter to international recommendations for establishing authority main headings (e.g. personal names) which are based on the nationality of an author.

- There are considerable variations in records within the same authority file, the reasons for which are not clear to the user. This is most often related to the history of the file itself.

- Some so-called authority records are of no use as the author is not completely identified and, for example, homonyms cannot be distinguished.

As a consequence, rather than using them as a pertinent reference tool, at least for national authors native to the countries which have produced the files, we ended up using the microfiche authority files merely as sources of information, enabling us to pick up here and there a piece of data used in establishing a new authority record (the nth one) for a given author.

As he existing authority files did not seem to correspond to the recommendations of the 1977 Brussels and Paris Congress, it seemed interesting to delve into the question, find out the reasons for this inconsistency and perhaps find a way to solve the problem. Thus as members of the Standing Committee of the Section on Bibliography, we suggested the setting up of a joint section working group on authority files at the 1987 Brighton Conference. The objectives were as follows :

1 - Listing current authority files, manual or automated, of persons, corporate bodies and subjects.
2 - Definition and comparative evaluation of national or international authority lists, whether manual or automated.
3 - Definition of the contents of the authority record by reference to the "Guidelines for Authority and Reference Entries" (IFLA, 1984).
4 - (Studying the) use made of the contents of the authority record by library users professional or otherwise.
5 - Comparative study of the management of authority files in shared or centralized cataloguing - (sole responsibility or not).
6 - Comparative study of subject authority lists and their use nationally and internationally.

Although approved by the section, the project, in which we wanted to involve the entire Division on Bibliographic Control, the sections on National Libraries and on Information Technology as well as members from Third World Countries, was rejected by the Coordinating Board, who may have thought that our concerns were mostly linked to difficulties encountered in installing a new automated system in our own country. However, after the Brighton Conference in 1987 and before the Sydney Conference in 1988, the UBCIM Programme showed some interest in the question. Its Advisory Committee debated as to whether to undertake a vast project on authority files the status of which had evolved during the past five years.

An ambitious programme was even set up in 6 stages:

1) The preparation of a resumé of previous IFLA work in this field (to be undertaken by the UBCIM office);
2) The compilation of a list of established and published standards in the field of authority control;
3) The preparation of a questionnaire on the existence and availability of authority files, and its circulation;
4) The collation and publication of the resulting information in directory form;
5) The assessment of any identified gaps and priorities for action and
6) Planning programmes to cover those gaps and priorities, to secure finance for individual projects and identify persons and/or libraries to carry them out.

Winston ROBERTS, UBCIM Programme Officer was in charge of the initial two stages. His report Authorities : Interim report on work in progress (unpublished) was presented to the Advisory Committee of the UBCIM Programme in Sydney. We shall examine his conclusions at the end of our paper. We took responsibility for the third stage, after the Section on Bibliography agreed to slate the authority files as the theme of its Paris meeting. The survey was to be in two parts : one designed for Western Countries for which we were responsible and the other for Socialist Countries undertaken by Ms. IGUMNOVA of the All-Union State Library for Foreign Literature in Moscow.

We proceeded to draw up a questionnaire for Western Countries which was translated into English by Winston ROBERTS and then sent by the UBCIM Office to all the members of the Conference of Directors of National Libraries (CDNL). A copy was also sent to Mrs. IGUMNOVA.

The questionnaire is in 3 parts :

- A survey of existing name authority files or lists[5], either manual or automated. In order to compare comparable data we tried to clarify the terminology by recalling the difference between a list and a file : a name authority file is made up of name authority records. A record contains, in addition to the authorized form of heading, the non-authorized and related forms, and notes identifying the person, corporate body or work selected as the heading, explaining the relationship between the heading and the non-authorized and related forms, and the sources consulted to create the record. A list of authority names is a list of headings which contains, in addition to the authorized forms of headings, only the non-authorized and related forms.

- general analysis of automated name authority files.

- An analysis of each type of authority record (e.g. names of persons, corporate bodies, and uniform titles).

The questionnaire is very detailed and quite technical. It may have been too long since some of the answers were incomplete. Its structure may not have been well adapted since some of the answers are contradictory within the same questionnaire and therefore cannot be used, which is why we did not try to tabulate statistics but will take account only of the most significant aspects. Summary tables are given at the end of this paper.

3 QUANTITATIVE RESULTS COVERING ALL NAME AUTHORITY FILES

By the 15th of June, 30 countries out 92 had returned the questionnaires (33%)[6].
The first part of the questionnaire gave us a count of name authority lists or files, manual or automated, for names of persons, corporate bodies, and uniform titles used in the manual or automated management of current national bibliographies, for books or serial publications.

- 5 countries answered that they had neither authority lists nor files (e.g. BARBADOS, BOTSWANA, LUXEMBOURG, PAKISTAN and SWITZERLAND),
- 3questionnaires were disregarded as they were returned by organizations which did not maintain a current national bibliography stricto sensu: e.g. a special division in the Deutsche Bibliothek (Berlin) and the National Libraries of Scotland and Wales.

That left 25 countries which had found their own solution to the problem of the treatment of author access points to their bibliographic records7. Among these 25 countries, 24 (that is all of them except the FRG) provide access points for personal authors, 23 for corporate bodies and only 13 for uniform titles (10 also have author/title access for the works of prolific authors, there was no provision in the questionnaire for this particular case).

Four types of solutions stand out :

- manual authority lists created to answer the necessity of a national bibliography and of the catalogue (GREECE, IRAN, TANZANIA),

- automated authority lists, that is on-line indexes to national bibliographies either independent (SOUTH AFRICA, MALAYSIA, MEXICO) or within a network (LIECHTENSTEIN).

- manual authority files (BELIZE, GREECE, IRAN) or files in the process of being automated (INDIA, MALTA, PORTUGAL)

- automated authority files or mixed systems in the case of 14 countries (FRG, AUSTRALIA, BELGIUM, CANADA, SPAIN, UNITED STATES, FINLAND, FRANCE, JAPAN, NEW ZEALAND, NETHERLANDS, UNITED KINGDOM, SINGAPORE, SWEDEN).

4. GENERAL ANALYSIS OF AUTOMATED AUTHORITY FILES (see table 1)

4.1 GENERAL OVERVIEW

We only analysed the 14 countries which answered that they did have automated files. This requires a few comments :

- We now have authority files (AF) of different generations (between 1971 and 1989). 75% of them, however, are at least 5 years and one can therefore imagine thought by now working methods are well established;

- About half of the AF we examined, although linked to current national bibliographies, are part of bibliographic databases within a network. The question of whether or not to share responsibility for creating or updating records arises as well as the problem of consistency ;

The oldest AF were set up mostly between 1972 and 1981 , in computerized systems which were not entirely capable of allowing automatic linkages between AF and bibliographic files. But the absence of linkage may have been from choice, as the utilization of the AF to process headings in bibliographic records is then less constraining. Yet since corrections in an authority record are not automatically transferred to the corresponding bibliographic record, the benefit of having both files automated is not thoroughly exploited.

The number of countries creating an authority record for each main entry necessary for the management of their national bibliographies equals the number of those who select at least one type of authority. This observation does not reveal any particular tendency. Among selection criteria, the complexity of the main heading is most often mentioned (the nationality is only mentioned twice be it for personal names or corporate bodies). The purpose of the AF in this case is to help cataloguers solve difficult cases one and for all ;

- All kinds of work organization exist (see table 2). Authority records are created either by all cataloguers who also work on

bibliographic descriptions for their national bibliography - these may or may not be under the responsibility of a team of specialists, or only by specialists. Strangely enough, it appears that the countries which have an exhaustive author authority file use either all cataloguers (i.e. AUSTRALIA) or a team of specialists (i.e. SPAIN) to work on authority records. Likewise, records from selective authority files are created either by specialists (i.e. SINGAPORE) which would seem normal considering the selection criteria defined above, or by all cataloguers (i.e. UNITED STATES) ;

- When authority records are created by all cataloguers doing descriptive cataloguing the comparison of time spent working on authority records, in percentages, is rather puzzling since it varies from 7% (UNITED KINGDOM) for an exhaustive authority file to 50% (UNITED STATES) for a selective one. It seems therefore obvious that the amount of information which must necessarily be gathered to create authority records varies from one country to another. Authority lists as defined above are undoubtedly more numerous than is generally thought (see samples of records, tables 6 and 7).

4.2 GENERAL REMARKS ON AUTHORITY RECORDS

If one examines the authority records themselves, other kinds of remarks come to mind concerning the structure of the records as well as the formats used for creating or exchanging records:

- The establishment of authority headings varies according to the standards used : AACR2 seems to prevail as a national standard, some of the countries even use a variant form of AACR2. It makes no sense to compare with the ISBDs recommended by IFLA since the ISBDs only apply to the descriptive part of documents and give no guidelines for the actual form of headings.

- Since the end of the 70s, IFLA, working on main headings, produced a series of recommendations8 such as Names of persons, Names of States or Anonymous classics, which are not commonly used. Between two extreme situations - 3 countries saying that they use none although they keep authority files to which these recommendations apply, and 2 countries which utilize all the pertinent ones - one finds all the other countries which turn to them only for reference. Besides, even those who use them9 only follow these recommendations if they are compatible with their own cataloging standards and their formats, in other words with national usage to some extent.

- The area of formats is where one finds the greatest consistency since the MARC format and its derivatives have spread throughout the world.

Three countries only said that they intend to use UNIMARC(A) to exchange data — A rather disquieting fact when one does international work, and which can be interpreted in several ways:

- UNIMARC(A) not being yet published, the work currently done on it may not be known. (Among those who answered negatively, however, one can find members of the International MARC Network Committee).

- Some countries may not intend to exchange their AF and, therefore, do not feel concerned by UNIMARC(A).

- Lastly UNIMARC(A) is modeled on the Guideline for Authority and Reference Entries (GARE) and 3 countries only admit that they use them "more or less" in so far as they are compatible with their own cataloguing standards. 7 countries say that they do not use them although they had a representative member in the Working Group which drafted them. In any case it would seem that this situation should be analysed when UNIMARC(A) is published so that the two complementary documents could be seriously publicized.

Only 6 countries gave information on the availability and means of distribution of their authority records. Only 4 countries among them have AF available on tape. It would therefore be premature to think that the exchange of tapes is current practice and yet, from 1979 on, tapes were the means of distribution recommended by the Working Group. To-day, COM microfiches are undoubtedly the most favored distribution medium of automated AF since they are clearly most in demand. The wide distribution of such an affordable medium is proof that utilization of AF is not restricted to bibliographic agencies only and that numerous libraries look there for help when establishing their main headings. However, it is difficult to know how cataloguers actually use the microfiches purchased by their libraries as by no means all the data entered on-line is output on microfiches products.

5. QUALITATIVE ANALYSIS OF EACH AUTHORITY FILE (tables 3, 4, and 5)

The recapitulative tables should have allowed us to analyse each authority file in detail. Here again, however, careful examination of the answers show that they are too incomplete, imprecise, or even contradictory to give us a fair idea of the actual contents of the files and of their real nature. Careful study of some samples of authority records (see tables 6 and 7) brings out the inconsistency between some answers in the questionnaire and the actual content of the records particularly as regards the existence of notes.

If one wishes to analyse the authority files in greater depth, one will need to contact again the countries who answered that section

of the questionnaire in order to obtain from them more reliable information.

6. A FEW COMMENTS

6.1 THE PRESENT SITUATION

Close examination of our survey shows that existing authority files are not used to identify national authors, but rather to standardize access points to bibliographic databases which are often very large and inevitably international in scope.

As Winston Roberts indicated in his interim report (already cited), national libraries, like all other research libraries, are often part of a network which generally implies the creation of shared bibliographic databases and thus shared authority files (in some cases authority files can be supplied by bibliographic utilities). These files are not necessarily published neither should they be.

We also know that many smaller special libraries are in the process of installing specific integrated systems choosing either customized or standard products with an authority control system either in a separate module or other modules.

Lastly, the development of an OPAC (On-line Public Access Catalogue) may be separate from existing automated authority files in a given library since such a file can be created automatically be extracting all main heading fields.

Most existing authority files are more or less similar in content i.e. their content is multinational and most of them are published on microfiches. It can then be said that :

> At international level the desire to really exchange authority files is probably not as strong as was believed up to now. The fact that the different countries did not organize themselves to share the work is sufficient proof. Records for national authors which could be exchanged are not identified as such in most files.
>
> At national level, the distribution of authority files on tapes created by a bibliographic agency to other libraries supposes that the receiving libraries have powerful automated systems able to handle at once a great number of records not all of which are useful to them. Distribution on demand, as is done for bibliographic records, might be better accepted.

These different considerations partly explain the small number of products and the scarcity of information on existing authority files as well as the low level of exchange of tapes today.
Now, it is true that whatever the amount of time spent on them, authority files are expensive. This Conference, whose main theme

is cost of information and management of resources should promote the efficiency or even the cost-effectiveness of bibliographic services. It would be more satisfactory to achieve this by redefining the responsibilities of all involved and without giving up UBC principles.

6.2 OBJECTIVES OF NATIONAL BIBLIOGRAPHIC AGENCIES

For many years, the Section on Bibliography which supported our survey, has contributed to better defining the roles of national bibliographic agencies and their current bibliographies. The objectives of a bibliographic agency were defined by UNESCO in 1979 (by taking into account the final report of the 1977 Congress on national bibliographies - c.f. note 2).11 They include a responsibility on authority files stated as follows :
"As an essential process in preparing the authoritative bibliographic records of national publications, the agency will maintain the national authority file of authors' personal names and the authoritative forms of names of official and corporate bodies." 12

Indeed there have been a few national authority lists or files13 published during those years, especially for coporate bodies, yet they seem to be, if not ignored, at least totally unutilized outside national boundaries.

6.3

Bibliographic agencies must again take these objectives into account under the best possible working conditions and in an internationally accepted context. To achieve such a purpose an agency will need :

a) precise definitions

Even when included in a national collection, authors (either personal or corporate) are not necessarily native to that country. It should therefore be clear as to who a national authority file will include. One can only be sorry that the question of definition of national personal or corporate body authors which, according to Dorothy Anderson14, should have been examined by the working group on international authority systems, was finally abandoned. It will be necessary to return to this lack of definition.

b) Internationally accepted recommendations for establishing headings

Most international lists of recommendations developed by IFLA in the 70s and the beginning of the 80s continue to be used as reference tools although the answers to our questionnaire show that people find them insufficient, imprecise, obsolete

or even unavailable. These lists should therefore be updated in the light of the preceding remarks, particularly those about lack of precision. Undoubtedly, the lists should define the general principles necessary for establishing main headings in each country but they should also, however, offer practical solutions - preferably detailed examples in UNIMARC(A) - in order to avoid free interpretation by each country of the basic common rules. They should bring together all national practices but also give rules to be followed in cases where these practices could not be entirely applied by other countries.

c) International standards defining the structure of main headings

Each country has its own standards or national variations of other standards. It is normal to respect national practices as regard to main headings. Yet, in order to allow exchanges, it is necessary to have at least one form common to all existing authority files. The recommended form should be the national form for names of authors. In that context, IFLA lists are indispensable for international corporate bodies and uniform titles.

d) Recommendations defining the elements of an authority record

The principles developed in GARE are sound ones. What should be done now is to make their application more widespread in such a way that all complete authority records have the same elements and should not look like mere authority lists.

e) An international exchange format

We will have gone a step forward when UNIMARC(A) is published (which should be very soon).

With the help of such tools and if they take their responsibilities, bibliographic agencies will be able to exchange author files, compatible in format and specific in content (which is not now the case), thus managing the authority system of their whole database in a more satisfactory way. all libraries will also be able to take advantage of these efforts, either within their own systems or by a wide distribution of authority files on various media (traditional ones such a microfiches, or non-traditional ones such as CD-ROM).

With such a plan, each country could at least have a hand in establishing its own national forms of authority (one of the important principles of UBC) if not producing them.

This scheme also underlines the fact that the international tasks remaining should be done up stream since tools a), b) and c) are either incomplete or non-existent. It is therefore urgent to deal with These problems, delicate as they are, before present relative inconsistencies become irreversible.

CONCLUSION

Everyone knows that international agreements are difficult to set up and often even more difficult to enforce even when it comes to librarianship.
More than 15 years after IFLA established its principles on bibliographic control it is only normal that new technological conditions should have an impact on their application. In the same way, economic considerations can force one to give up overambitious objectives. But, convinced as we are now of the need to have authority lists or files to best manage large quantities of automated data, and being able to rely on guidelines for the structure of records (GARE) and of formats (UNIMARC(A)), we can again share responsibilities thus allowing fruitful exchanges mostly for the benefit of members of IFLA, and not be caught in senseless commercial battles.

NOTES

01 "...for establishing the authoritative form of name for its country's authors, both personal and corporate, and authoritative lists of its country's authors, personal and corporate". (ANDERSON, Dorothy. Universal Bibliographic Control: a long term policy, a plan for action, Saur, 1974).

02 INTERNATIONAL CONFERENCE ON NATIONAL BIBLIOGRAPHIES. Paris, 1977. - Final report. Paris, UNESCO, 1978 (PGI -77/UBC/3; CONF. 401/COL 11).

03 Survey of authority files and authority control systems for catalogue headings : first report / prepared by the IFLA International Office for UBC. - London, 1978. (Unpublished)

04 Guidelines for Authority and Reference Entries recommended by the Working Group on an International Authority System; approved by the Standing Committees of the IFLA Section on cataloguing and the IFLA Section on Information Technology. - London : IFLA International Programme for UBC, 1984.

05 Lists and files for subject headings are not dealt with here since the Section on Classification and Indexing intends to study the question.

06 Three questionnaires were returned untouched and are therefore not accounted for here (ICELAND, MALAWI, NORWAY).

07 A number of questions were left unanswered and sometimes the answers were imprecise. Other reference sources such as International Guide to MARC databases and services (2nd ed. - 1988) and Library bibliographic networks in Europe, a LIBER direction (1988) points out that other countries have authority files (e.g. CHINA, DENMARK, BRAZIL, INDONESIA, ITALY, JAMAICA, THE PHILIPPINES, SAUDI ARABIA, SENEGAL, VENEZUELA ...) but there is no information on them.

08 List of recommendations published by the UBCIM Office :
- Names of persons : national usages for entry in catalogues. 3rd ed. - London : 1977.
-Supplement to Names of persons : national usages for entry in catalogues : 3rd ed. - London : 1980.
- Form and structure of corporate headings. - 1984.
- Names of states : an authority list of language forms for catalogue entries - 1981.
- List of uniform headings for higher legislative and ministerial bodies in European countries. - 2nd rev. ed. - 1979.
- African legislative and ministerial bodies : list of uniform headings for higher legislative and ministerial bodies in African countries. - 1980.
- Liste internationale de vedettes uniformes pour les classiques anonymes = International list of uniform headings for anonymous classics / IFLA; comp. by Roger Pierrot. - 1964.
- List of uniform titles for liturgical works of the Latin rites of the Catholic Church. 2nd. rev. ed. - 1981.

09 Names of persons is used the most : 10 countries out of 13 having an AF for personal names mention referring to it. Some countries remark that the lists on official bodies are obsolete and that some states have since published much better repertories. Out of the 8 countries which keep authority files for uniform titles, 5 say that they use neither of the 2 lists regarding these files.

10 We should stress here that in this case, according to our definitions, one sets up an authority list at the most rather than a true authority file.

11 Guidelines for the National Bibliographic Agency and the National Bibliography. - Paris : UNESCO, 1979 (PGI/79/WS/18).

12 "As an essential process in preparing the authoritative bibliographic records of national publications, the agency will maintain the national authority file of authors' personal names and the authoritative forms of names of official and corporate bodies" (op. cit., Chap. III, S 11.3).

13 Among the answers to our questionnaire we noticed that :
- Japan published its personal name authority file in 1979 and in 1985.
- Malta published its name authority file (for personal names and corporate bodies) in 1984 and in 1988,
- Sweden published its corporate body file 3 times,
- Singapore published its corporate body file in 1973 and in 1977.

14. "The IFLA Sections on Cataloguing and on Mechanization have established a Joint Working Group on an International Authority System, which among its tasks will study existing proposals for the exchange of authority data, and consider definitions for the terms "national authors" and "national bodies" : see International cataloguing I (4) 1978 / 37 : 8 (1) 1979 : 2 in Guidelines for the National Bibliographic Agency and the National Bibliography, p. 48.

TABLES ARE IN BOOKLET 40, pages 14 to 23

Legends in English are attached to this paper.

TABLE 1: GENERAL ANALYSIS OF AUTOMATED AUTHORITY FILES

Generalities: column 1: date when file maintenance was automated
column 2: is file maintenance centralised (C) or shared (P) ?
column 3: is maintenance of the links between authority file (FA) and bibliographic file (FB) manual or automatised (A)?

STRUCTURE OF AUTHORITY RECORDS AND OF AUTHORITY FILES

column 4: which standard(s) do you apply in constructing authorised forms of names ?
column 5: which format is used for inputting data ?
column 6: if your authority file is published in non-coded form, does the presentation of the records conform to the recommendations given in the Guidelines for authority and reference entries (GARE) ?
column 7: do you intend to use the UNIMARC/Authorities exchange format (due to be published soon) to distribute your authority file ?

USE OF IFLA RECOMMENDATIONS

columns 8 - 14: do you apply the recommendations given in the publications of the IFLA International Office for UBC ? (for complete references, see note 08 at the end of the paper).

AVAILABILITY AND MEDIA:

columns 15 - 23:
is the authority file available online ? (columns 15-17)
is the authority file available on magnetic tapes ? (col. 18-2
is the authority file available on microfiches ? (col. 21-23)
which display format(s) are available ?
. input format display ? (columns 15, 18 , 21)
. non-coded display ? (columns 16, 19 , 22)
who are the users of the authority file ? (columns 17, 20, 23)

TABLE 2: WORKING ON AUTHORITY FILE

columns 1 - 3: do you create an authority record for every heading in the bibliographic records of the current national bibliography ?
columns 4 - 6: who create the records ? all descriptive cataloguers (C) ? only a team of specialists (S) ?
columns 7 - 9: what proportion of descriptive cataloguers'work time is spent on the authority file ?

names of persons: columns 1, 4, 7
corporate authors: columns 2, 5, 8
uniform titles: columns 3, 6, 9

TABLE 3: QUALITATIVE ANALYSIS OF NAMES OF PERSONS AUTHORITY RECORDS

FIXED FIELDS:

column 1: date when record created
column 2: date of last update
3: language most often used by author
4: nationality of author
5: dates of birth and death
6: dates of activity (beginning/end)

AUTHORISED FORM OF HEADING

column 7: is it used form in your country ?
8: is it internationally recognised form ?
9-12: for the authorised form of heading, can you specify :
column 9: type of name (pseudonym, religious name, etc.)
10: transliteration standard used (ISO, etc.)
11: language of authorised form
12: other information

NON-AUTHORISED FORM OF HEADING:

column 13: existence of these forms, without other precisions
14-16: for each non-authorised form, are you able to specify:
column 14: type of name (pseudonym, religious name, etc.)
15: transliteration standard used (ISO, etc.)
16: language of non-authorised form

RELATED FORMS

column 17: existence of these forms, without other precisions
18: for each related form, are you able to specify the type of name (pseudonym, religious name, etc.) ?

NOTES:

column 19: biographical note on the person (profession, place, etc.)
20: instruction for applying the authorised form in the bibliographic file
21-22: note giving title/date of publication of one of the author's works, to aid identification. Is this usually
column 21: the best-known work ?
column 22: the work described in the bibliographic record for which this authority record was created ?
23-24: note on the sources consulted to create the authority record:
column 23: successfully
column 24: unsuccessfully
34: in the case of each note above, can the cataloguer decide if it should be published (i.e. in the products) or remain confidential (i.e. available only to cataloguers inputting data to the authority file) ?

TABLE 4: QUALITATIVE ANALYSIS OF CORPORATE NAME AUTHORITY RECORDS

FIXED FIELD:
- column 1: date when record created
- 2: date of last update
- 3: nationality of corporate body
- 4: language most often used by corporate body
- 5: dates of activity (creation/liquidation)
- 6: type of body (conference, private body, official body, etc.)
- 7: field of activity

AUTHORISED FORM OF HEADING
- column 8: is it used form in your country ?
- 9: is it internationally recognised form ?
- 10-12: for the authorised form of heading, can you specify:
  - column 10: transliteration standard used (ISO, etc.)
  - 11: language of authorised form
  - 12: other information

NON-AUTHORISED FORMS OF HEADING:
- column 13: existence of these forms, without other information
- 14-15: for each non-authorised form, are you able to specify:
  - column 14: transliteration standard used (ISO, etc.)
  - 15: language of non-authorised form

RELATED FORMS
- column 16: xistence of these forms

NOTES:
- column 17: history of the corporate body, and its constitution or articles of incorporation
- 18: address of the corporate body
- 19: instruction for applying the authorised form in the bibliographic file
- 20-21: note giving title/date of publication of a document published by the corporate body, to aid identification. Is it usually
  - column 20: the best-known work ?
  - 21: the work described in bibliographic record for which this authority record was created ?
- 22-23: note on the sources consulted to create the authority record:
  - 22: successfully
  - 23: unsuccessfully
- 24: in the case of each note above, can the cataloguer decide if it shoul be published (i.e. in the products) or remain confidential (i.e. available only to cataloguers inputting data to the authority file)?

COPIE REALISEE SUR COPIEUR

FIXED FIELDS:

column 1: existence of these fixed fields
2: date when record created
3: date of last update
4: nationality of the work
5: original language of the work

AUTHORISED FORM OF HEADING

column 6: existence of these authorised forms
7: is it international form recommended by IFLA ?
8-9: is it the form normally used in your country ?
column 8: in all cases
9: for works not given in IFLA lists
10-11: is it a form found in other lists or other authority files ?
column 10: in all cases
11: for works not given in IFLA lists
12-14: for the authorised form of heading, can you specify:
column 12: transliteration standard used (ISO, etc.)
13: language of authorised form
14: other information

NON-AUTHORISED FORMS OF HEADING

column 15: existence of these forms
16: is it international form recommended by IFLA ?
17: is it the form normally used in your country ?
18: is it a form found in other IFLA lists ?
19- 21: for each non-authorised form, are you able to specify
column 19: transliteration standard used (ISO, etc.)
20: language of non-authorised form
21: other information

RELATED FORMS

column 22: existence of these forms
23: type of relationship (parts to complete work, dated change of title, etc.
24: other information

NOTES

column 25: existence of these notes
26-30: contents notes
column 26: literary genre and/or definition
27: date of production
28: existing manuscripts and location
29: name of the author(s) to whom the work has been attributed
30: other versions (for literary texts)
31: instruction for applying the authorised form in the bibliographic file
32-33: note on the sources consulted to create the authority record
column 32: successfully
33: unsuccessfully
34: in the case of each note above, can the cataloguer decide if it should b
published (i.e. in the products) or remain confidential (i.e. available
only to cataloguers inputting data to the authority file) ?

TABLE 6: ANALYSIS OF AN AUTHORITY RECORD FOR NAME OF PERSON
Problem of transliteration
(vedette = heading; renvoi = cross reference)

TABLE 7: ANALYSIS OF AN AUTHORITY RECORD FOR A CORPORATE BODY

IFLA GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

Division: Bibliographic Control

Section/RT: Bibliography

133-BIBL-6-E

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

This document has been reproduced as received from the person or organization originating it.

Minor changes have been made to improve reproduction quality.

Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

AUTHORITY CONTROL AND MUSLIM PERSONAL NAMES

by

Roderic VASSIE

British Library
Collection Development, Arabic Section
London, UK

IR053260

Keywords

Authority files (Cataloguing
Names, Personal--Islamic

For internal use only:

Meeting No: 102

SI: yes/no

Estimated number of participants in the meeting:

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

A.L. Van Wesemael

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Abstract

The increased on-line availability of bibliographic records and authority control files, both nationally and internationally, has speeded up the process of cataloguing in many countries. However, in the field of authority control in particular, problems have persisted in areas where authority files have yet to be created or else remain unpublished and unavailable outside the library or country concerned. One such area of difficulty in countries where European languages and cultures are dominant is how to devise headings for Muslim personal names. Cataloguing codes such as the AACR2 do little more than describe the basic elements within Muslim names. To a very great extent the problem is thrown back at the cataloguer who, without a proper set of rules, is expected to make decisions based on a mixture of experience, precedent and common sense. In such a climate, even without the cultural diversity which exists within the Muslim world itself or the problems posed by so many transliteration schemes, inconsistencies are bound to arise.

This paper gives an outline of the variety both of elements which exist in classical Muslim personal names in particular and of the variety of ways in which headings can be constructed from them. Given this variety it seems reasonable to suggest that the solution to problems of authority control for the finite number of such authors where most inconsistencies have occurred in the past may lie in acknowledging that a consensus is emerging on the treatment of their names. The *ad hoc* principles for these shortened headings could be made the basis for a new set of rules, acceptable to cataloguers and readers alike, with a view perhaps to publishing a definitive authority file in the future.

Authority control and Muslim personal names

For years libraries in Europe and beyond have been capable of exchanging bibliographic data relying on a common script and relatively straightforward software programs to convert MARC codes from one standard to another. Although the exchange of records for publications from the Islamic world has also been possible between European institutions, practical considerations, the most basic being the differences which exists in romanisation standards, have always ruled this out. However, even with a single, internationally accepted romanisation scheme, or better still a vernacular script capability, libraries would still be confronted with major disagreements in the formulation of personal author headings.

Of those problems associated with authority control for Muslim names, the most obvious must surely be whether it is practical to consider the names of people from such a wide variety of national and ethnic groups as belonging to a single, identifiable type. Clearly differences will arise in naming practice between early Muslims and those of today. Equally differences will occur in name structure between Muslims from Malaysia and those from, say, the Ivory Coast. Since I do not possess a detailed knowledge of the whole spectrum of Muslim name structures, and in view of the breadth of the subject, I propose to restrict myself to the treatment of classical Muslim names, with only a few remarks about the elements and structures which prevail today.

The most noticeable effect the advent of Islam had on Arab names related not so much to structure but to choice. Simple names such as those of Muhammad and the other prophets became popular, as did compound names incorporating one or other of the ninety-nine names of God of the type 'Abd al-Qādir,

literally 'Servant of the Powerful.' A measure of this impact on choice of name is demonstrated by the fact that over 40% of authors in catalogues of Arabic literature are entered under either Muhammad or Ahmad.[1] The general structure, however, remained constant.

So, as with pre-Islamic Arab authors, the names of Muslim authors throughout the classical period, for which the cut off point is around the year 1800, were made up of the following elements: *ism* (given name), *nasab* or *ism al-ab* (patronymic), *nisbah* (an adjective indicating tribal, geographical or sectarian origin or allegiance). In addition one might have a *kunyah* (compound beginning with **abū** signifying 'father of') and a *laqab* (descriptive epithet). To this basic pattern Islam was shortly to add a new element, the *khiṭāb*. This was an honorific title, usually of the form **'Alā' al-Dīn**, not present in early Muslim names, and it came to be placed first. The order of elements was:

khiṭāb / kunyah / ism / nasab / laqab / nisbah
'Imād al-Dīn / Abū 'Abd Allāh / Muḥammad / ibn Muḥammad / al-Kātib / al-Iṣbahānī
(Pillar of the Faith / father of 'Abd Allāh / Muḥammad / son of Muḥammad / the Scholar / of Isfahan)

For the vast majority of classical authors, whether they wrote in Arabic, Persian or - to a lesser extent - Turkish, it is possible to construct a name of the above pattern. In practice, however, few names contained all the elements. *Khiṭābs*, for instance, were not conferred on everyone, and only a parent could possess a *kunyah*. However, an author's full name did not necessarily become shorter because it lacked a *khiṭāb*, *kunyah* or *laqab*. The passion for genealogy amongst Arabs, and later amongst Muslims generally, means that in many cases it is possible to add to the father's name the grandfather's, great-grandfather's, and so on. Similarly regarding the *nisbah*, it is

not uncommon to find an author with two or more. So, a scholar who originated for example in Mecca and then moved to Baghdad to teach might be given on a title page as **al-Makkī al-Baghdādī**, a further *nisbah* signifying perhaps his Sufi order (e.g. **al-Qādirī**) being added also; or he might possess *nisbahs* referring to his tribe (**al-Qurashī**) and/or clan (**al-Hāshimī**), as well as to which legal school he belonged (**al-Mālikī**). Of these *nisbahs* any one could provide the entry element, or conversely none at all.

Faced with a seemingly interminable chain of elements, any one of which could be the entry element, how does the cataloguer decide on a heading? If we look at the practice of the early Muslim biographers we find that, realising perhaps that the best known element of name was apparently the product of random selection, they ignored it altogether for filing purposes. Ibn Khallikān, the 13th century author of *Wafayāt al-a'yān*, entered each person under alphabetical order of given name (*ism*). The reason he states in his preface was that, until he adopted this system, he had had trouble referring to his notes.[2] al-Ṣafadī in his *al-Wāfī bi-al-wafayāt*, composed the following century, used a refined version of this system which included the patronymic also. One of the most useful Arabic biographical dictionaries today is still structured in this way, with the year of death added to provide a third filing element.[3]

This simple and systematic principle, given name plus patronymic, was adopted by the British Museum, forming the basis for authority control of most Muslim names in its catalogues until about 1960. However, whilst succeeding in one primary function of authority control, namely to collate all works by the same author under a unique heading, it fails in another. The main drawback from the user's point of view is

that, in all but the few cases where an author is actually known by his given name (e.g. **Mālik ibn Anas**), the heading bears no relation to the name by which that author was usually known. Nevertheless the British Museum continued to create headings according to this pattern for well over a century despite being singled out by scholars as a shortcoming.[4] Indeed, it survives elsewhere to this day.[5]

So, the need was perceived for a remedy to make catalogue headings more instantly recognisable to users. The solution was to "enter a name [...] under the element or combination of elements by which the person is best known,"[6] the so-called *ism al-shuhrah*. A early example of this method is found in the bibliography of Arabic printed books up to 1919 produced by Sarkīs,[7] in which he shows how a file of concise, user-friendly headings interspersed with the bare minimum of references can be achieved. Sarkīs gives no explanation of any rules which governed the decisions on which his headings are based. Whether it is that rules simply cannot be devised for Muslim names as opposed to European names or not it is impossible to tell. Certainly though in the case of the *Anglo-American cataloguing rules* (AACR2), beyond demanding entry under the best known element or elements, the general tenor is one of *laisser faire*.

This lack of precise rules and the uncertainty it creates has found its way into the catalogues. Most if not all of the inconsistencies which have arisen between two libraries applying the AACR2, the British Library (BL) and the Library of Congress (LC), are due to deficiencies in the rules themselves. Recognising that Muslim authors can be best known by any one or more of the name elements outlined above, the AACR2 proceed to list examples of entries under each. It is nowhere explicitly stated, but what has been attempted in the special rules for 'Names in the Arabic alphabet' is to provide examples to cover

all authors in Arabic, Persian and Urdu of both the classical and modern periods. In view of the wide range of names represented and the total absence of explanation, one is left to assume that the basis on which the choice of heading is made differs from one example to the next.

In a significant number of cases disagreement arises as to what exactly is the best known element. This problem is particularly evident as regards names which include the *khiṭāb* element. Taking for example the famous Sufi poet, **Jalāl al-Dīn Rūmī**, of the four files of headings consulted[8] all had decided that the author's given name and patronymic (**Muḥammad ibn Muḥammad**) were unimportant and could be ignored. The question remained whether to enter him under *khiṭāb* (**Jalāl al-Dīn Rūmī**) or under *nisbah* (**Rūmī, Jalāl al-Dīn**). All but the BL settled for the former. One might imagine another Persian poet's name, Farīd al-Dīn 'Aṭṭār, should warrant similar treatment to the above. In this case both the BL and the LC agree on entry under *laqab* (**'Aṭṭār, Farīd al-Dīn**), again ignoring given name and patronymic. Yet the problem cannot a simple one of *laqab* taking precedence over *khiṭāb* according to some unwritten rule because LC's authorities file gives **Farīd al-Dīn 'Aṭṭār** as its old heading. Nor does the choice relate to some idea of the comparative unimportance of the geographical *nisbah* for authors in Persian (a feature which is evident in Urdu authors' names)[9] as shown by the LC's choice of heading for Fakhr al-Dīn al-Rāzī, entering him under **Rāzī, Fakhr al-Dīn Muḥammad ibn 'Umar** in spite of the *Encyclopaedia of Islam*'s suggestion to the contrary.[10] Another example of entry under *khiṭāb*, one of two given in AACR2, **Ṣadr al-Dīn al-Qūnawī, Muḥammad ibn Isḥāq**, is contested by some Arab librarians and bibliographers[11] who favour the *nisbah* as entry element.

However, such exceptions apart, general agreement exists as to main entry element for classical authors. Nevertheless plenty of scope remains for further inconsistency as institutions applying, if not the same rules, then at least the same basic principles disagree regarding which other elements are worthy of inclusion and which should be omitted. With the author Aḥmad ibn 'Abd al-Ḥalīm ibn Taymīyah for example, consensus exists only insofar as the main element, **Ibn Taymīyah**, is concerned. Thereafter institutions disagree whether the *ism*, Aḥmad, should come next or the *kunyah*, Abū al-'Abbās, or whether the *khiṭāb*, Taqī al-Dīn, should not be regarded as relevant. For users of the AACR2's section on names in the Arabic alphabet no guidance is given, the only definite rule given being that any patronymic beyond that of father (i.e. grandfather's name, etc.) should be omitted unless it forms the entry element. But it is clear, if not from the wording then from the AACR2's first example, (**Rashīd al-Dīn Ṭabīb**, a compound of *khiṭāb* and *laqab* which totally ignores the author's given name, Faḍl Allāh), that supplying the name and patronymic can be regarded as purely optional.

In this regard it is worth comparing again the practice of the LC and the BL. Whereas the BL has continued supplying both name and patronymic in the majority of cases, including on occasion a significant *khiṭāb* or *kunyah* (e.g. **Suyūṭī, Jalāl al-Dīn 'Abd al-Raḥmān ibn Abī Bakr**), the LC has opted in a number of cases to shorten its headings to a single element (e.g. Suyūṭī), even if this means disregarding other elements of the full name traditionally associated with it as in the case of the above author, who is always referred to on title pages as Jalāl al-Dīn al-Suyūṭī. This practice is particularly noticeable with headings for the more prominent authors. In one instance the LC's authority file records a change from its old

heading specifically approved by AACR2, **Jāḥiẓ, ʿAmr ibn Baḥr**, to the shortened form, **Jāḥiẓ**.

In the case of al-Jāḥiẓ there is only one author known by that name, so adding or omitting names after the entry element has no effect on filing order. On the other hand the same is not true of the heading for Jalāl al-Dīn al-Suyūṭī mentioned above whilst other authors of the same *nisbah* exist. For another author like the Muslim jurist, Muḥammad ibn Idrīs al-Shāfiʿī, again only one of many known by the name al-Shāfiʿī, one might think that he, like Jalāl al-Dīn al-Suyūṭī, logically merits being given a simple, single element heading since he is the best known author bearing that name, indeed the one to whom all others owe their *nisbah*. However, as far as the LC is concerned the in-house shortened heading rule does not apply here.

In fact the LC is not alone in abbreviating headings for certain authors. The practice is also evident in the German national bibliography, in the Arabic catalogues of the Bibliothèque Nationale in Paris, and presumably in countless others. Clearly a number of major institutions have reached an unconscious agreement in principle that worthwhile benefits are to be gained from shortening headings. Not least of these benefits is insuring more accurate collation of works under a particular heading by limiting the number of possible keyboarding errors which could corrupt the catalogue's filing order - a factor of paramount importance in computerised databases.

The names of one group of authors, spanning both classical and modern periods alike, already lend themselves to the application of shortened headings. They are the *noms de plume* or *takhalluṣ* of poets and certain other literary authors, such as Abū Nuwās, Ḥāfiẓ, Saʿdī, Adūnīs or Ghālib. Because the

takhalluṣ actually appears in their works, one can be sure that this is the preferred form of name.

It is noticeable that cataloguing codes of the AACR2 type have failed to provide the theoretical basis required from which to produce definitive headings for Muslim names according to an understandable and consistent pattern. Equally noticeable is that the response from libraries in Europe and America - and I presume in Muslim countries too judging by the influence the AACR2 and ISBD exercise there[12] - has been to devise measures of a piecemeal nature rather than to produce a set of logical and practical rules.

One useful tool to help solve the disagreements could be produced by undertaking a project similar to that begun under the auspices of Unesco by Mahmud Sheniti and Abd el-Moneim Fahmy with the publication in 1961 of their initial list of names for pre-1800 Arabic authors.[13] It should be broadened to provide headings for a far greater proportion of the finite number of such authors, including authors in languages other than Arabic. However, such a list would have to be more refined than that mentioned above, clarify which other elements should be used in headings in the case of names where entry element is not unique. So, where the best known element is unique, as for example with al-Jāḥiẓ, it could be adopted as the heading without addition or elaboration; but, where the main entry element was shared as for example with the three Ibn Taymīyahs, grandfather, father and son, information would be provided to show which of the extra elements (*khiṭāb, kunyah, ism* etc.) if any were actually relevant to the heading in question.

When constructing headings for modern authors the trend is increasingly for national libraries to ask the authors themselves what they think the various elements of their names are. But this possibility does not exist for classical authors. For

this latter group the only concern one need have is for ease of access. Unfortunately cataloguers to date have been torn between the need for access and the desire - encouraged by deficient cataloguing rules - to produce a record of each and every Muslim author's genealogy and dates. However, providing genealogies and dates is the primary function and concern of biographical dictionaries and not catalogues.

---

1. Shanīṭī, Maḥmūd and 'Abd al-Mun'im Fahmī: *Madākhil al-mu'allifīn al-'Arab* (Cairo, 1961), p.2
2. *Ibn Khallikān's biographical dictionary* (Paris, 1842), p.2
3. al-Ziriklī, Khayr al-Dīn: *al-A'lām* (Cairo, 1927)
4. *Ibn Khallikān's biographical dictionary* (Paris, 1842), p.xxxix
5. One prominent example would be the Institute of Arab Manuscripts' *Fihris al-makhṭūṭāt al-muṣawwarah*, where the index refers from the best known forms to the given name.
6. *Anglo-American cataloguing rules* 2nd ed. rev. (London, 1988), section 22.22B1
7. Sarkīs, Yūsuf Ilyās: *Mu'jam al-maṭbū'āt al-'Arabīyah wa-al-mu'arrabah* (Cairo, 1928-1931)
8. British Library: *General catalogue : current* (London, *1989*). Library of Congress: *Name authorities, cumulative microform ed. 1977-1986* (Washington, D.C., 198-). Bibliothèque Nationale: *Catalogue général des livres imprimés, 1960-1969 : caractères arabes* (Paris, 1978). Deutsche Bibliographie : Fünfjahres-Verzeichnis 1981-1985 (Frankfurt am Main, 1987)
9. Dogra, R.C.: "Cataloguing Urdu names," *International library review*, (1973) 5, p363
10. *Encyclopaedia of Islam* New ed. (Leiden, 1960-), v.2, p.751. The EI is one of AACR2's preferred reference sources for Muslim names.
11. Sarkīs, Yūsuf Ilyās: *op. cit.*, p.1532; and Shanīṭī, Maḥmūd and 'Abd al-Mun'im Fahmī, *op. cit.*, p.164.
12. Both codes have been published in Arabic translation (AACR2, *Qawā'id al-fahrasah al-Anjlū-Amīrikīyah : al-ṭab'ah 2* (Amman, 1983); and ISBD in 4 parts, *Tadūb : al-taqnīn al-duwalī lil-waṣf al-bibliyūghrāfī* (Tunis, 1982-1984)). See also the notes on national cataloguing code for the Muslim countries listed in IFLA, *Names of persons* 3rd ed. (London 1977) and its supplement.
13. Shanīṭī, Maḥmūd and 'Abd al-Mun'im Fahmī: *op. cit.*

IFLA GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

55th IFLA General Conference, Paris, 1990
Division: Bibliographic Control
Section: Section on Bibliography

136-BIBL-7-E

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

This document has been reproduced as received from the person or organization originating it.

Minor changes have been made to improve reproduction quality.

Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

EXPERIENCE OF THE WORK ON AUTHORITY FILES IN SOCIALIST CONTRIES LIBRARIES

(SURVEY)

N.P.Igumnova,
Deputy director, Lenin State Library

IR053260

Moscow 1989

For internal use only:
Meeting No: 102
SI: yes/no
Estimated number of participants in the meeting:

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY
A.L. Van Wesemael
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

EXPERIENCE OF THE WORK ON AUTHORITY FILES IN SOCIALIST COUNTRIES LIBRARIES. (SURVEY).

Research in the field of Authority files in socialist countries was begun in the 60s in accordance with international programmes. The resolutions of the International conference on cataloguing principles (Paris,1961) and the 32nd IFLA session (the Hague,1966) contained recommendations for uniform headings for some types of publications. Socialist countries' specialists actively participated in this work.

This work represented a component of the working out of international rules for the bibliographical description (ISBD systems) and ISO recommendations. The question dealing with the development of international recommendations in this field was included into the Medium-term Programme of IFLA for 1981-1985.

The problem of authority files is of a special significance for socialist countries'libraries due to the development automated bibliographical information.

Nowadays in a number of socialist countries the compilation of the current national bibliography and process of cataloguing are computerized (Hungary, Czechia,Slovakia,GDR). In other socialist countries there are done manually.

Bulgaria. The function of the authority files in the current national bibliography is performed by the auxiliary index to annual cumulations and bulletins. Each issue of the bulletin "Bulgarian books", Series 1, is furnished with the "Index of names of corporate authors and headings".

The following indexes are prepared for this purpose: "Index of names", "Index of corporate authors", "Index of publi-

cations in foreign languages", "Index of publications translated from other languages", and "Subject index". The main rules for bibliographical descriptions, which are determined by the national Bulgarian standard (BDS 15419-82) are used here. These recommendations correspond with the ISBD(M). Names of foreign authors are translated according to the Bulgarian "Rules of Transliteration".

The Bulgarian Centre for national bibliography prepares authority alphabetic files of subject headings. A file of personal and corporative headings is operational since 1981.

Bulgarian name authority file is now in preparation since 1969. This file reflects the names of authors of Bulgarian books under their first names and patronymios, but not under their surnames. The entry includes the full author's name, the field in which the writes and the year of its publication. The file is connected with the alphabetic catalogue by references. The numbers of the catalogue cards are written in the reference file.

The NL of Bulgaria does not yet have an electronic retrospective catalogue. At present an electronic catalogue of publications in foreign languages is being created. Manual catalogues (alphabetic, classified and subject) are connected through appropriate references of a general character, which include all accepted forms of personal and corporate headings.

Problems of transliteration do not arise in the NB of Bulgaria because the alphabetic catalogues are maintained on three levels: books in Bulgarian, books in other Cyrillic languages, and books in the Latin alphabet. In order to maintain the subject catalogue on the necessary scientific level, an authority

file of accepted and unaccepted headings in Bulgarian is maintained.

Hungary. The Hungarian national bibliography is from 1976 maintained in a computerized form; it contains entries of books, official and periodical publications put out in the territory of Hungary. The Hungarian standard (SZ 3440) 1-5, which covers personal and corporate headings, geographical names and titles is used here.

The frequency of the national bibliography is 24 issues per year. It is also put out in annual cumulations and cumulations for 10 years.

There are different kinds of authority files. Together with other card files they make up the information reference system of the Library. The Library also maintains a file of personal. Hungarian authors, a file of corporate authors and of standardized names. All these files are interconnected through the system of references and are furnished with ISBN and ISSN. When these numbers are lacking, the additional number of the Hungarian national bibliography is used.

Reference files for uniform arrangement of catalo..ues are maintained in Hungarian public libraries since 1982. Starting with 1987 the catalogue cards of the Szechenyi National Library also contain standardized data. Data from the Hungarian national bibliography are also used.

In GDR "Rules of alphabetic cataloguing" were developed on the recommendations of the International conference on the fundamentals of alphabetic cataloguing (Paris,1961). These rules envisage cataloguing by authors, corporate authors and subjects. The full name of the author, used by the author himself,

is always given in one and the same form. The "Rules..." precisely define the use of prefixes in surnames, pseudonyms, designations of different historical periods and the personal names, who have church titles.

The rules of definition of corporate headings are in keeping with the different structures of corporate authors. The basis for the definition of a corporate authors is the official name of the body, which is always used in the same form. At currently the German State Library is working on a list of corporate headings.

For the bibliographical entry all foreign publications are given in Latin characters. The transliteration of the slavic Cyrillic alphabet and the Greek alphabet is presented in the "Rules...", in the form of tables.

In the German State Library machine readable data bases are beginning to form. It is planned to introduce the Central on line catalogue of newspapers and serials and the Central on line catalogue of monographs.

In Poland the electronic information system SABINA has begun to operate. An electronic file of the national bibliography, on the basis of which the issues of the current national bibliography are published, is being developed since 1986. The Library also has machine readable authority files of uniform headings of personal and corporate authors, etc.

In Czechoslovakia in the compilation of the national bibliography and the formation of catalogues, State standards and rules of description of documents are used.

With the introduction of electronic data processing for the national bibliography, the need in reference files has in-

creased. Separate files are formed in accordance with ISO recommendations with due regard for national peculiarities and needs. The Matica Slovenska does not yet have definite reference files of individual and corporate names and subjects. The Library is continually working on these files.

The data base of the Slovak national bibliography has 400 thous.records. Records on books are loaded since 1976, on articles from 1978, and on other documents of the library type - from 1981.

The personal file is maintained in alphabetic order. It includes authors, co-authors and other persons, who rank with them (compilers, composers, artists, translators, producers, editors, etc.). Data on the author are presented in a single alphabetic array according to their sounding, regardless of the time the work was published. The main criterion here is the Slovakian national origin of the authors, who publish their works in Slovakia and abroad.

Transliteration is used when there is need to convert the Cyrillic alphabet to the Latin alphabet. The Szechoslovakian State standard was developed on the basis of the ISO standard.

The file of designations of corporate bodies is made up of their original names. These two files will be converted to machine-readable form in the near future.

The subject file includes independent alphabetic arrays of personal headings, general and geographical names and corporate bodies. The subject file performs the function of a dictionary in which the system of synonyms, homonyms, excluded headings and headings introduced a new is actively used. The rules of compilation of the headings are determined by the State

standard and methodological principles.

The State Library of the Szech Socialist Republic maintains the national book bibliography on machine readable carriers since 1983. The data base contains names of individual authors. Versions of the surname, first name and references are added to the official form of surname (name). The names of corporate bodies are not placed into the heading, they are recorded and loaded independently. With anonymous works the first title is inserted into the heading.

An independent file of titles of works is made up from the data base. A card file of pseudonyms and cryptonyms is used. It is a component of the printed Bibliographical catalogue of the ČSSR. The names of authors are written in a form, which can conveniently be used in the on-line mode. These records are the basis for printed matrixes of catalogue cards and auxiliary indexes. Authors, co-authors, translators, authors of prefaces and afterwords, illustrators, etc are indicated.

In Czechia national standards, the majority of which already have the status of CMEA standards, are used.

At present a cumulation of national names (personalia) and corporate bodies with appropriate references is being prepared. A machine readable bibliography is maintained only for books while other types of materials (dissertations, prints, printed music, discs, etc) are processed in the conventional way. Lists of personal and corporate authors are available in the appropriate printed parts of the Bibliographical catalogue and in the catalogues of the State Library of the ČSSR.

For transliteration, the standard (CSN 01 0185), which makes it possible to convert Latin characters to national ones, is used.

In the USSR work in the field of authority files is conducted in two directions: in the creation of the national bibliography and in cataloguing. This is achieved by two major centres: the research and production association - the All-Union Book Chamber, which is the centre of current national bibliography and centralized cataloguing, and the State Lenin Library of the USSR, the Centre of retrospective national bibliography and union catalogues. Coordination of work on the authority files is realized by the USSR Cataloguing Committee.

The All-Union Book Chamber, has created auxiliary authority files and instructional-methodological materials, which make it possible to efficiently maintain and use the General alphabetic catalogue of books and pamphlets.

Complex development of the problem of authority files was begun in 1986. The references file of domestic authors (RFDA) was compiled in the process of preparation of the automated data base "ADB-bibliography". The RFDA will operate as the authority national machine readable data base for individual names and corporate authors. For purposes of building up and maintaining this base, special instructions and methodological recommendations are published ("Methods of compilation of the official reference entry of names of individual authors and designations of corporate bodies of the USSR", "Provisional instructions for the creation and maintenance of the Reference file of domestic authors"). The RFDA is based on the authority reference entry (ARE), which consists of elements, united into fields and presented in a certain sequence. The first field of the ARE heading is intended for the statement of a number of elements. For

individual authors they are: surname (pseudonym), first name, patronymic (or initials), different additions to the surname, first name and patronymic. For corporate authors: full designation of the corporate body, name of the territorial body and structural subdivision.

The field of identification characteristics for the individual author consists of dates of his life, nationality, language in which the author's books are published, speciality, field of activity, address, different degrees and titles, etc.

For the identification of corporate bodies it is possible to state the geographical name of the place of its work, dates of creation and restructuring, number, type of institution,etc. Connections between two and more ARE headings are envisaged. References to other forms of headings are given.

The rule for the choise of the uniform heading is cited in the instructions. Priority is given to that form of personal and corporate names, which is stated in the General automated catalogue of the All-Union Book Chamber or in the authority file. When the necessary information is lacking, the most frequently used form or the one, which is stated in the most recent publications, is chosen.

At present an experimental authority file of domestic authors has been formed. It includes over 10 thousand entries of writers, critics and specialists in literature.

In the grouping of entries for the RFDA the administrative and territorial division is used. The republics, territories and regions are presented in alphabetic order. Within the RSFSR the cities of Moscow and Leningrad, which have the greatest number of authors are singled out. The form of surname

(pseudonym) of the author under which the majority of his works' are published, is accepted as authoritative. The complete set of identification data removes homonymy. The created data base is widely used in the preparation of the national bibliography.

The State Lenin Library of the USSR is working on the authority files from the middle of the 70s. In 1977 the list "Names of persons" and in 1978 the "List of uniform titles for the bibliographical descriptions of anonymous classical works of the peoples of the USSR" were put out. The USSR Cataloguing Committee jointly with the cataloguing committees of European countries, prepared two editions of the "List of Uniform Headings for Higher Legislative and Ministerial Bodies in European countries", which were issued in 1974 and 1979. The draft of the third edition of the "List..." was prepared in 1983 and sent to the IFLA UBC, but it was not published.

In 1977 the USSR Cataloguing Committee published the "List of headings of bibliographical entries for Higher Legislative and Executive bodies of the USSR and the Union republics".

In 1987 the second and enlarged edition of the above mentioned uniform list was issued. The Lists are intended for practical use by bibliographers and cataloguers.

Summing up the review, it should be mentioned that, in connection with to the existing mostly conventional (card-based) practice of maintenance of national bibliographies and catalogues, the work on the creation of authority files is conducted with the aim of ensuring the preciseness and fullness of the information. With the shift to the electronic form the importance of authority files grows. Practically all socialist countries are forming automated data bases of current national bibliographies.

Specialists of socialist countries in the field of the formation of the system of national bibliography and cataloguing consider it necessary to participate in IFLA programmes for the creation of authority files.

The author of the review thanks all colleagues, who sent the appropriate materials: Prof. Gyula Juhasz (National Library of Hungary); Dieter Schmedmaier (National Library of the GDR; Villiam Mruskovic (Matica Slovenska), Yaroslav Beranek (National Library of the CSR); A.A.Djiga (All-Union Book Chamber); N.I.Gerasimova and I.S.Dudnik (Lenin State Library).

N.P.Igumnova,
Deputy Director
The Lenin State Library of the USSR

P.S. The soviet specialists in cooperation with representatives from socialist countries in the frame of International Scientific and Technical Information System /ISTIS/ have worked out the Normative Technical Prescription (TP) 32-84 "The presentation of personal names and corporate bodies in the heading of bibliographic record and reference".

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

X This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

SUBJECT ACCESS AND THE MARKETPLACE FOR BIBLIOGRAPHIC INFORMATION IN FRANCE

by

Suzanne Jouguelet

Conservateur, directeur du pôle documentaire,

Bibliothèque municipale de Lyon

France

IR053260

For internal use only:

Meeting No: 12

SI: [redacted]/no

Estimated number of participants

REPRODUCTION REALISEE SUR COPIEUR RANK XEROX

SUBJECT ACCESS AND THE MARKETPLACE

FOR BIBLIOGRAPHIC INFORMATION IN FRANCE

Abstract

The concept of a marketplace now applies to bibliographic records. The recent "Master Plan for Bibliographic Information" speaks in the economic terms of supply and demand.

Who are currently the producers in the French marketplace? Under what conditions do they distribute their records?

To what extent is subject access in these records adequate for user needs?

The needs of the professional librarian should not replace those of the user. The purpose remains successful searching by the end user.

COPIE REALISEE SUR COPIEUR RANK XERO

The concept of a "marketplace" as applied to information is not brand new. For several years, the idea that information has a cost has taken hold in several areas, among others in online data base searching. But the commercialization of bibliographic records, at least in France, is a recent phenomenon. French libraries are in the process of catching up in the area of computerization. Since the mid-1980's, they have felt the need to buy records, first to have a storehouse of records for an online catalog, then to shorten cataloging time by making use of work done elsewhere.

The Association des Bibliothécaires français (Association of French Librarians) brought together a large number of librarians in June 1987 for a day long seminar on "The Marketplace for Bibliographic Records in France."

In this new system for sharing bibliographic records, subject access has an important place for two critical reasons:

1. Providing subject cataloging and indexing is a long and costly step in processing documents;

2. At the other end of the chain, subject searching is the preferred search strategy by the users of documentation centers.

An important synthesis has just appeared on bibliographic information within the French context. In February 1988, the Ministère de la Culture commissioned a "Master Plan for Bibliographic Information." The working group responsible for the study consulted numerous experts and called upon the Bureau Van Dijk to survey approximately 30 public libraries. The first results were published under the title "Summary and Analysis" in October 1988. The second part deals with the stakes and possible future

COPIE REALISEE SUR COPIEUR RANK XERO

directions. "The context is characterized on one hand by greater independence of the participants because of decentralization and on the other hand by a worldwide marketplace for bibliographic information. It is therefore fitting for the Minister to acquire quickly a tool to give him a clearer vision of the future and of more coherent choices about computerization."

After having studied the development of computerization in libraries, the working group examined the production and distribution of bibliographic information from the point of view of supply and demand.

It defined bibliographic information as "all which is created or used in a library as part of the 'normalized' description of its documents." Within this definition, it set up three levels:

-- the catalog record

-- indexing, keywords

-- the location of the document

We will first briefly discuss the producers of bibliographic information in France and the circumstances of its distribution before studying more closely subject access to this information, which varies according to the producer.

The list of the principal French producers of bibliographic information includes:

-- Le Cercle de la Librarie, or more precisely its subsidiary, la Société de Banque de données bibliographique, for Livres disponibles (Books in Print);

--La Bibliothèque Nationale and its data base BN-Opale;

--OCLC, used by a certain number of French university libraries

COPIE REALISEE SUR COPIEUR BANK XERO

--Several shared cataloging networks: the cooperative network (formerly Libra) and the Sibil France network.

The Cercle de la Librairie produces records for commercial works of French and French-speaking publishers. The Livres disponibles database currently has 280,000 titles. New entries (about 500) update the database weekly. The records are not in the MARC format. Its two types of users (book stores and libraries) use both available media: print, certainly, but also machine readable: Electre-Bibliographie, available since 1986 on Minitel. Since March 1988, it provides more sophisticated access without advance sign up at 2.19 French francs per minute. Livres disponibles will also become commercially available on CD-ROM in Fall 1989.

La Société de banque de données bibliographiques offers subscriptions to libraries, individually or through regional service centers, for current records (or new titles) or for retrospective records (extracting by UDC classification from Livres disponibles or by publication date at a cost of 2 to 4 French francs per record). The records are currently supplied on magnetic tape or computer disks. The processing mode will change with the appearance of the CD-ROM. The cost of the annual subscription varies from 3 to 8 French francs per record according to the number of records used during the year.

Since 1985, The Bibliothèque Nationale has been building its bibliographic database: BN Opale. It has around 600,000 bibliographic records for all French books received since 1975, for publications in French series since 1975, and for foreign books and government publications since 1983. The annual growth rate is 70,000 records. Soon, all cataloging for books published since 1970 will be added to the

COPIE REALISEE SUR COPIEUR RANK XEROX

database which will increase it to one million records.

BN Opale also contains 380,000 authority records for personal and corporate authors, subjects, and uniform titles.

The document is processed as soon at it arrives on legal deposit. The legal deposit record is then enriched with additional access points (author added entries and subject headings) to create the record in Bibliographie de la France.

Records in Bibliographie de la France since 1975 are available on CD-ROM. The development of this CD-ROM occurred in collaboration with the British Library as part of a project funded by the European Economic Community.

Libraries are able to select retrospective records from the Bibliothèque Nationale database by sending tapes with search keys for the desired records. Numeric search keys are the most reliable and least expensive (ISBN or accession number in Bibliographie de la France). Libraries can subscribe to current records at 2.50 French francs per record with a choice of either legal deposit records or Bibliographie de la France records, or they can purchase both versions as they become available for 3.70 French francs per title.

The Bibliothèque Nationale supplies its records in the UNIMARC format by converting from its internal format (Intermarc) into UNIMARC.

The cooperative network consists of about 60 libraries, mostly central lending libraries, and depends upon a collective catalog in the UNIMARC format. At the end of 1988, it held 352,000 records of which 189,000 were by location. Bibliothèque Nationale records (from 1975 to 1984) account for 36% of the database while the Bibliothèque Publique

COPIE REALISEE SUR COPIEUR RANK XEROX

d'Information provides another 15%.

Control of the bibliographic information for the network is delegated to the Centre national de coopération des Bibliothèques publiques in Massy. The network also includes regional centers.

The records include the ISBD, the Dewey number to indicate subject matter (no subject headings), and the location. There is no authority file.

Another example of shared cataloging is the Sibil-France Network, formed in 1983 by a certain number of French university libraries. The database Sibil-France has about 100,000 records. Its records come in part from the Sibil network in Switzerland.

Sibil uses its own internal format. Several subject systems coexist. For the moment, it has no authority file; but the matter is under study.

The shared cataloging networks do not have the same logic as the large producers of cataloging data. Above all, they aim for use of the records within the network. Problems can include unequal quality control and the fact that needs of the libraries within the network are not necessarily identical.

After testing the hit rate, the Direction des Bibliothèques, des Musées et de l'Information scientifique et technique signed a contract in 1987 with OCLC to furnish current and retrospective records to university and special libraries. In exchange, France furnishes OCLC with records not in its database. SUNIST, Serveur universitaire national, manages the use of OCLC services. Libraries catalog online with OCLC for current cataloging or off line for retrospective cataloging.

The OCLC MARC format allows for the creation of machine readable

COPIE REALISEE SUR COPIEUR RANK XERO

records in which the Frenchification of certain fields by French libraries is preserved in the machine readable copy.

But it is necessary to translate the borrowed records, especially for subject headings. Apparently, translating is not too difficult because many of these libraries are already specialized and because the scientific and technical vocabulary is limited in scope, for example the Bibliothèque de l'Université de Technologie de Compiègne.

Training is indispensable because it is necessary to learn the Anglo-American Cataloging Rules and eventually the Library of Congress Classification.

The choice of OCLC as a source for bibliographic records and as a cooperative network was made basically for economic reasons. The calculation of the OCLC-Auroc user group shows that each purchased record costs around 50 French francs. The French libraries in the network supply the same records to a national collective catalog.

If the bibliographic record marketplace has an international dimension, it can also, inversely, be on a smaller scale than the whole nation. France has regional bibliographic databases. For example, Brasil in the Rhône-Alpes region brings together records from several national producers, supplies records to libraries in the region, and provides a regional union catalog.

Original cataloging is seen more and more as time consuming and costly; thus arises the double idea of storehouses of records and shared cataloging.

For the storehouses of French bibliographic records, the Cercle de la Librairie and the Bibliothèque Nationale represent two stages in the

COPIE REALISEE SUR COPIEUR RANK XEROX

production of bibliographic information:

The Cercle is faster because it can provide information before publication.

The Bibliothèque Nationale describes the document at the point of its legal deposit, a fact which leads to some delay because of the dependence upon publishers but which in return guarantees exhaustiveness. Its records serve as a standard thanks to the bibliographic quality added by authority control.

The shared cataloging networks have cooperation as their main goal; their problem is the potential unequal quality of the records.

The bibliographic marketplace brings along with it technical, financial, and legal constraints.

--technical: it is a question mainly of format incompatibilities and of the interfaces required between the producers' software and the libraries' software;

--financial: the records have variable costs depending whether it involves a simple look up or downloading, whether it involves current or retrospective records. Are libraries ready to accept and to pay this cost?

--legal: the concept of record ownership leads to the establishment of contractual obligations between the producers and the library consumers. In general, the contract stipulates internal use within the library and prohibits resale.

What types of subject access do the diverse sources of bibliographic records offer?

COPIE REALISEE SUR COPIEUR RANK XERO

Subject access is a qualitative element added to the descriptive record as the result of a long and costly process. It is therefore advantageous to recover the result insofar as others recognize its quality and eventually its possible use in a network.

The records from the Cercle provide two subject access methods according to the product. The first, through very broad UDC classification, allows for the systematic classification arrangement of the weekly publication "Les Livres de la semaine" and also organizes the subject volumes of Livres disponibles. The UDC subject table in Livres disponibles has been recast to provide better access. In the subject volumes, the entries are organized according to UDC into 2,710 subdivisions whose headings and numbers are found in the Table of Subjects. Significant words are extracted in a "Keyword Index" at the beginning of the subject volumes (14,000 words). UDC can also be used to extract retrospective records from the bibliographic database.

The second approach, by subject headings, is much more analytical. It is provided in the machine readable product, "Electre-bibliographie" which offers five approaches (Title, Author, Subject, Publication Date, ISBN) and in the annual cumulative printed product, "Un an de Nouveautés" with a subject index.

For example, if you currently look for items on medically assisted procreation, you will not find them in the same way in the different products. In Electre-Bibliographie and in "Un an de nouveautés," you will find the material under "Artificial Procreation," but in "Livres disponibles" the keyword index does not include "Procreation" but you will find "Reproduction-Physiology: 612-6" and "Pregnancy--Obstetrics: 618.2."

COPIE REALISEE SUR COPIEUR RANK XERO

Change is underway. The subject volume of Livres disponibles will no longer be arranged by UDC but by subject headings drawn from a reference list. This list is entitled "Choix de vedettes-matières à l'intention des bibliothèques=Choice of subject headings for libraries" (2nd edition 1987). It contains 12,500 common noun entries and some cross references. It does not have a very rigid syntax but is nonetheless a precoordinated system. For the moment, it is available only in print format without an online version. Its use does not require prior training.

To return to the example of procreation, the Choix de vedettes-matières gives:

--procreation: see also Embryology, Fertility, and Reproduction

--procreation, artificial

The subject list adopted by the Bibliothèque Nationale in 1980 is more elaborate and more confining. This authority list, called RAMEAU (Répertoire d'Autorité Matière Encyclopédique et Alphabétique Unifié), is a tool for indexing and for subject searching.

Its source is "Library of Congress Subject Headings" and therefore has a precoordinated structure. It is established from the subject heading authority list of the Bibliothèque Nationale and maintained by a branch of the Ministère de l'Enseignement Supériuer: the Cellule Nationale de coordination de l'indexation-matière.

At the beginning of 1989, RAMEAU included 43,429 common nouns, 25,654 proper nouns, 18,438 geographic names, and 57,802 excluded terms. Thus, the French list includes personal and geographic names.

RAMEAU is a database accessible online and updated regularly. It is also published twice each year in microfiche.

COPIE REALISEE SUR COPIEUR BANK XERO

It is possible for members of the RAMEAU network to propose additions and revisions. The Bibliothèque Nationale validates these proposals. Who uses it?

--many university libraries because the Direction des Bibliothèques wishes to promote a common subject language as part of preparation for a future union catalog;

--the network of pedagogical documentation centers;

--some public libraries (Examples: Lyon, Rennes)

The Bibliothèque Nationale is both the producer and a user of RAMEAU.

It is a system rich in cross references and a living system thanks to its shared file of revisions. Training is necessary to use it; the intellectual "maintenance" of RAMEAU, including validation of proposals, evolution of terminology, and training, rests upon an overly restricted number of people. This problem should be resolved from a perspective which takes into account an anticipated decentralization of RAMEAU.

By definition, the logic for downloading records requires changing the available information as little as possible and integrating it "as is" with the addition only of local information. But the question is to know whether the information furnished is adequate to meet user needs.

The subject indexing provided by the Cercle de la Librairie is judged, in general, well adapted to small and mid-sized libraries; but there are many gaps.

RAMEAU's subject indexing is much more elaborate and is suited to the needs of large libraries and university libraries. The number of subjects and the cross reference structure are its strong points, but it is judged

COPIE REALISEE SUR COPIEUR RANK XEROX

by some as too complex and as requiring too much training.

The possibility of changing the list to meet user needs is not now available for Electre; on the other hand, the RAMEAU network offers a management structure and an updating potential which allows both enriching the list and the maintaining its integrity. It is necessary nonetheless to emphasize that the team responsible for the intellectual maintenance of RAMEAU is too small.

The problems encountered by libraries who receive records are many:

--Problems with classification. Neither the Bibliothèque Nationale nor Electre provide the Dewey Decimal Classification numbers, indispensable for the vast majority of public libraries.

--Problems for Children's and Young Adult's sections in public libraries.

Even the Cercle list requires adaptations in the direction of simplification of complex terms or of systematic regroupings. The Children's sections of the Ville de Paris, who have chosen RAMEAU, face similar problems of adaptations.

Libraries usually chose adjustments and the creation of more cross references rather than choosing a separate bibliographic database for the Children's section.

--Problems within specialized fields; for example, the use of an encyclopedic authority list by specialized libraries. Tension exists between the need for "specific" vocabulary in a field and the need to maintain the encyclopedic and coherent nature of the list.

Nevertheless, it is possible to improve coverage for a field. This is what is happening, for example, for RAMEAU:

COPIE REALISEE SUR COPIEUR RANK XEROX

--In Art History with the Bibliothèque Forney (the specialized art library in Paris) and other art libraries;

--In Law, among others with the Bibliothèque universitaire Cujas with its specialization in French law;

--In Technology with the Bibliothèque de l'Université de Technologie de Compiègne, etc...

Specialized thesauri provide suggestions for new subject headings. Care must be taken to maintain an overall vision for the list.

--Problems tied to the downloading of records with a different subject indexing system than that of the library (for example from Sibil which has adopted RAMEAU and downloads records from Lausanne with another subject access system) or in another language (for example from OCLC with the translation problems for LCSH).

All these problems for professional librarians should not allow the end result--user searching--of all these adaptations to be forgotten. The development of online catalogs gives the public new search keys and a new type of access (for example from home with Minitel). We have seen the importance of subject searching (usually more than 50% of searches).

Searching by subject keywords increases the number of access points and makes up for the drawbacks of precoordinated subject indexing as does Boolean searching. But this assumes a powerful computer system, capable of handling searches entered using "see reference" terminology.

Studies on online catalog use show the difficulties in consulting a catalog on the screen (spelling mistakes, incorrect use of the search types, difficulty in searching by date, etc.). Problems also arise from a confusion over two types of approach, a systematic approach and an

COPIE REALISEE SUR COPIEUR BANK XERO

analytical approach. The research in the "Master Plan" gives an example. "The user searching by 'Impressionism' in Electre will be disappointed by not also finding Claude Monet, or, inversely, will not have access to all the general works on Impressionism." Solutions to this problem can be found by using "see also" cross references or through access by classification.

It seems as if in France we have come to a stage of global redefinition of bibliographic information.

The directions prescribed by the Master Plan define the scenarios; the project, "Bibliothèque de France" leads also to a reconsideration of the production and distribution of records within the framework of a national network. A high priority item is the establishment of a national union catalog to discover the existence of documents and their location. Within this perspective of a national plan of localization and of access to information, subject access has particular importance. To go beyond the stage of a mosaic of diverse systems, speaking a common language is obviously essential.

RAMEAU has the advantage of already being "spoken" by the Bibliothèque Nationale and the university libraries. Several important public libraries (Ville de Paris, Lyon) have also adopted it.

The emphasis should henceforth be placed on the optimal use of this language by users, with queries in terms as close as possible to natural language. The contribution of the new technologies should be oriented towards obtaining a rapid pertinent response to the users' questions.

COPIE REALISEE SUR COPIEUR RANK XERO

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
This document has been reproduced as received from the person or organization originating it.
Minor changes have been made to improve reproduction quality.
Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

IFLA GENERAL CONFERENCE, Paris 1989

Division: Bibliographic control

Section: Classification and indexing

Workshop:

Dewey: an international perspective

August 24, 1989

Translating Dewey in italian

by

Daniele Danesi

Library Consultant

IFNIA srl

Florence, Italy

IR053260

What we often forget when we talk about classifications is that there is an economic component in their production, maintenance and, why not, in the preparation of translations as well. Having been involved in the preparation of an Italian edition of DDC for almost ten years, and lately on the very management side of it, I can testify that success, or otherwise, has been linked more to economic constraints rather than to classificatory ones, and even more so if one's aim is to translate and at the same time to adapt the classification to a cultural environment different from the one where it was conceived: translating a classification is not an easy task in itself, but bending its structure, if at all possible, to accommodate different frames of mind, in brief, and more to the point, a different literary warrant, is less so. I beg the public's pardon if I persist in the economic and management aspects of classification, but this is what we (the editors, the Italian library association etc.) have worked on over these last two years: our goal has been to set up an italian edition of Dewey on a permanent basis so that after the publication of edition 20 in 1992 and edition 12 in 1993, there will be separates if they are published by Forest Press, DC& every year and, hopefully, an edition 21 or whatever will come next. There are a lot of constraints that one has to face so that an undertaking of this magnitude is not a failure or a once and for all effort. The fact that two major recent full editions, namely the French edition 18 and the Spanish 18-19, have not seen sequels so far (but we hope that there will be some edition 20 in one of the Romance languages because it would be such a great help for us too!) shows how difficult it is to give continuity to the life of a classification when we plan nothing more than a translation and we do not consider that a classification is a living organism which grows and decays and needs a fertile land on which to feed.

Classifications are organisms as well as commodities: both considerations converge in requiring from whoever wants to make a transplant as much rigour in the classificatory side as in the planning process. Marketing the translation and its benefits, seeing that the classification is accepted by the library community is sometimes as painful a process as the translation/adaptation itself. Knowing your

market is of paramount importance before you set out to prepare a more than 3,000 page publication in four volumes (omitting the rest). The Italian market as an example is fairly odd: it is probably the only developed country where one classification is not only dominant but is practically the only one that is used or taught (with a few and not very relevant exceptions). This classification is obviously DDC. The story of the Dewey classification in Italy should never have warranted its current position: it was quick to arrive and as early as the end of the 1880s it was already mentioned in the library literature; Dewey himself had a small but vocal group of followers among the most open-minded Italian librarians. A first italian edition of DDC, although more of the Brussels brand, was published in 1989, and with it a spate of special developments, bibliographies and catalogues classified using Dewey saw the light of day. Two years later this seemingly thriving industry had already disappeared without leaving a trace: the less enlightened part of the Italian librarians had opposed the system and for almost sixty years DDC was forgotten in library handbooks and courses, as well as in current practice, if we except a few cognoscenti who cherished this lost tool. How is it that Dewey has come back at the end of the '50s, and with growing vigour has upstaged all of its competitors in the '70s and in the '80s? To give a thorough answer to this question would be very long, because it concerns the external cultural influences that were exerted on the Italian library profession in that period that was, it has to be said, a period of deep crisis. At the end of the '50s DDC was adopted by the Italian national bibliography (BNI for short), although in a very shortened and simplified version: DDC appeared to a new generation of librarians as a very simple and poor thing, to complain about on account of its lack of specificity, but, at the same time, so easy to use that it could fit without problems into any library situation. For these reasons edition 18, and, in an unprecedented way, edition 19 have been adopted massively by libraries of all sizes and types: the profession at large has decreed that DDC was what it needed and that it needed it in the full version. In 1986 the italian national bibliography relinquished its old very shortened version to adopt edition 19, at least partly because of the pressure that came from the library profession.

The success of DDC in Italy could contradict to a certain degree what I was saying about the economic factors: success for Dewey has emerged from an half truth, simplicity; from a limbo of questionable applications; and moreover, a situation of no marketing, no planing, just the collective and spontaneous choice by a profession.

The hard times have come with the success of edition 19, at least for us, the translators. Now the profession is no longer so easy to please: they want something that is really suitable for their needs, that is responsive to the cultural differences, sometimes nuances, of our society, so that it is no longer necessary to strain one's imagination, or the schedules, to accommodate 'local' subjects. There is no point in having a classification in one's own language and having no relief in the classification of the subjects of everyday life.

The challenge for the translators, and for the economics of the enterprise, is to answer these queries, incorporating in the classification everything that is useful for the Italian libraries. Much of this work has to be done, in a sense, violating a basic rule of Dewey's, literary warrant, or basing one's choices on a very thin literary warrant. BNI in three years has classified no more than 30,000 documents; another trick we have tried in the years of edition 19 was to ask the Decimal Classification Division of LC to send us all their output of Italian documents on cards, but the paper work was too great and to file and use it would have meant to slow down the translation process, so the experiment was discontinued.

So we have to rely more on an experts' warrant (scientific, educational, academic or whatever is available): problem draft translations are circulated to experts for checking the language but also for general advice. This too is a painful and costly process and for a project on a very tight budget sometimes impossible to pursue fully. The only free advice or sometimes feedback comes from librarians themselves in seminars, courses and, more rarely, through the mail: these kinds of communication provide us with a kind of literary warrant, albeit an indirect one.

It is obvious that our problems (other than the economic ones, that are similar in any setting) are by far less severe than those affecting editors of translations in languages that do not belong to the western culture. On the cultural plane both the

American/English and the Italian cultures are parts of the western culture. In the last 20 or 30 years there has been a change, a much publicized one, in the direction of influences or cultural currents: if once they tended to go from east (Europe) to west (America), now it is rather the reverse, we could say from the Pacific rim eastward. This phenomenon has the welcome side effect for us sometimes of shortening the time lapse between the birth of a new subject (be it AIDS or cellular telephones) and its appearance in DDC schedules.

Many cultural differences are prior to and intractable by any possible integration: those that spring immediately to mind are religion, law and administrative structure. These we have already tried to solve, in part, in the Italian edition 11, for example, substitution the Catholic canon of the holy scriptures to the Protestant and using 353 for the Italian central and regional governments; law is such a intricate question that it has not been possible to tackle it in edition 11 and it will be a nightmare for edition 20.

But much more lies before us: for the purpose of the changes, adaptations or clarifications we have to make we could distinguish, schematically, in kinds of differences: 1. linguistic: this has to do mainly with the translation per se (headings, notes, manual) and the construction of the index. Many difficulties of this kind come from the fact that the Italian language has less terms, particularly in the latest technologies and it is very slow in developing its own terminology: in the Italian translation of 004-006 Computer science we had to use a lot of very dubious Italian terms, not really much in use, with the English term in parenthesis or the English term outright (we haven't got unambiguous terms for software and hardware!). We have the same problem for many generic terms which have no corresponding term (or not one that is strong enough) in Italian, like management or political process, or specific terms that do not exist and we have to express through circumlocutions or coining a new term. In this last case we could well drop the term or the number involved (if there is no word, there is no literary warrant), but a solution like this is always painful. In any case, translating a classification means overcoming these kinds of difficulties. Any word in it must be weighed up and one always has to be on his guard to spot false analogies and linguistic traps. Having classified for many

years with the original DDC can sometimes obfuscate this very capability in the translators.

2. cultural/conceptual: in this category we can put the cultural differences that can be solved mainly with new or adapted notes in most cases, of the class here, class elsewhere and see also kind, or in the manual. Many of these instances are social or historical, like resistenza (maquis) that for us is not used just in a military sense, or all of the archive science area that is not possible to reduce to 020; another area is that of overlappings, where we prefer different solutions from the ones used in the Anglo-American area: one good example is the distribution of material between 307 and 710 which is not very satisfactory for us.

3. classificatory: to this category belongs the law problem mentioned above, and also many others. A very simple, and almost stupid, example is that of 641.8 Cookery of various specific kinds of composite dishes where the pattern of the distribution of the dishes in the subdivisions of 641.8 does not conform at all to our tradition. The only way of solving it is to have an alternative arrangement, or to ignore the problem if it is considered irrelevant.

4. quantitative: there are parts of DDC that are underdeveloped, where we need more numbers. This is particularly evident for the historical periods and geographical areas. In the first instance we have made new schedules for the historical periods of the various states of pre-unification Italy: they will be published in the italian edition 20. The second problem, the one about geographical areas is almost as unmanageable as the law: between the administrative areas that are listed in the original edition 20 (20 regions and 95 provinces) and the next step, communes, there is a great void: communes are more than 8,000 and we cannot list them all; but many of these administrative or geographical units not listed have a long history and a huge literary warrant, huge but impossible to check. We badly need a sound principle on which to decide what to list. On the other hand we must take a decision that we have been very reluctant to take in the past: to reduce the classification in areas where we do not need all the detail, particularly in geographical areas outside Europe.

IFLA

Division: BIBLIOGRAPHIC CONTROL

Section/RT: CLASSIFICATION AND INDEXING

118-CLASS-4(WS)-E

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☐ This document has been reproduced as received from the person or organization originating it.

☑ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

An Overview of the International use of the Dewey Decimal Classification

by

Russell Sweeney

Department of Library and Information Studies,
Leeds Polytechnic
England

IR053260

For internal use only:

Meeting No: 149

SI: [redacted]/no

Estimated number of participants in the meeting: 128

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY
A.L. Van Wesemael

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

An Overview of the International Use of the Dewey Decimal Classification

Russell Sweeney

(Department of Library and Information Studies, Leeds Polytechnic, England)

Without question the Dewey Decimal Classification is the most widely used general classification in the world, and is used as the main system of arrangement in over 200,000 libraries in 135 countries across the globe. Its nearest rival in respect of totality of use is the Universal Decimal Classification, to which it is, of course, closely related, but in terms of the number of volumes of books classified, the Dewey Decimal Classification stands alone.

There are many reasons why the scheme has become the standard library classification in the English speaking world, but why should it also appeal to such a wide international community? The answer cannot be found in the superiority of its philosophy and structure, for, adequate though this may be, it is surely eclipsed in these features by some other schemes. The main reason must surely lie in the NOTATION it uses to represent classes. Arabic numerals are used throughout the entire world and their sequence is universally understood. This makes the outward manifestation of the classification easy to comprehend and independent of any language, giving the system relatively easy transferability across linguistic, social, and cultural boundaries.

Despite the obvious Western, Anglo-Saxon social and cultural bias of the English editions of the classification, the scheme has found a ready acceptance outside these cultures and has been translated, sometimes with adaptation, into over 30 different tongues, including French, Spanish, Italian, Norwegian, Danish, Greek, Hindi, Arabic, Farsi, Turkish, Hebrew, and Japanese [Refs. 7, 12-15, 21, 31, 32]. The cultural backgrounds of the peoples served by these translations and adaptations are very different from the cultural backgrounds of the English speaking world, yet the system has proved surprisingly hospitable to them. There are certain strains in attempting to accommodate these cultures. One obvious example where adaptation is necessary is in the Arabic edition, where the overwhelming Christian bias in Class 200 Religion in the English edition is unacceptable [Ref. 26]. Another example lies in the literary warrant which supports the English language editions, which is not the same as that which could justify expansions of certain classes in other language editions. However, the fact that the classification has been translated into so many languages is a testament to its flexibility and its value as a system of arrangement.

The Dewey Decimal Classification is not used in Eastern Europe or the Soviet Union, where the use of Universal Decimal Classification, or BBK (Bibliotechno-Bibliograficheskaya Klassifikatsaya) is favoured. Other than this bloc of countries, Dewey can be found in use a most European countries, the Americas, African countries, countries of the Indian subcontinent, some Far Eastern countries such as Malaysia and Taiwan, Polynesia, Australia and New Zealand.

In order to continue to satisfy the needs of this international community of users of the Classification, there are a number of questions which need to be answered :

1. What mechanisms could be established in order to bring the specific needs of these users to the attention of the editor and publisher ?

2. How can the needs of all countries be accommodated within the Classification ?

3. How can these needs be accommodated whilst still retaining the English language edition as an international bibliographic standard ?

In many of the English speaking nations there are committees of their respective Library Associations whose purpose is to monitor the developments in the Classification, particularly those affecting the literature of that country, and to suggest modifications to meet their own needs. In the USA, the Decimal Classification Editorial Policy Committee consists mainly of American librarians, although there is representation from the Canadian Library Association and the British Library Association. The American Library Association's representatives on that Committee are advised by various Subject Analysis Committees of the American Library Association, though the role of these latter Committees is re-active, rather than pro-active. In the UK, the Library Association's Dewey Decimal Classification Committee has been in existence since the mid-1950's and has been pro-active in a number of areas, notably 780 Music and Table 2 Areas - 41/42 British Isles [Ref. 36]. The

Library Association of Australia's Dewey Decimal Classification Liaison Committee has been active since the 1970's, providing a focus for comment on developments affecting Australasia, Polynesia, and Pacific [Ref. 3]. Published evidence of the existence of similar committees in other countries is scanty, but there is an active Norwegian Dewey Committee, and no doubt there are others less formally constituted [Ref. 29].

Where such committees exist they are the obvious channel for the transmission of suggestions for changes and expansions in the Classification. The lack of any formal committee within a country should not preclude suggestions for change being forwarded to the editor. What would be necessary, however, is evidence that any such proposals had been widely discussed by the professional users in that country, so that the proposals forwarded represent the considered view of those users and have the support of the relevant Library Association, or other professional body. Provided these criteria are met, such proposals would receive sympathetic consideration, and, provided there were no conflict with other sections of the Classification, or the editorial rules used in its development, the changes could be incorporated into the Classification [Ref. 10, 18, 22-25].

In some cases the publisher of the Classification has enlisted the help of the relevant Dewey Committee, Library Association, or National Library, in order to revise a particular part of the Classification. For example, the Table 2 Areas for:

-41/42 British Isles, were prepared by UK LADDC Committee

-52 Japan, were prepared by the Private University Library Association of Japan

-68 Southern Africa, were prepared by the south African Institute of Library and Information Science

-711 British Columbia, were prepared by the National Library of Canada

There is thus a considerable body of evidence to show that the users of the Classification in the international community do have an input to the development of the Classification, and it is to be expected that this input will expand in the future.

The English language full edition is recognised as an international bibliographic standard, and DDC class numbers are assigned to MARC records produced by the Library of Congress (USA), British Library (UK), Canadian National Library, Australian National Library, and many others. The question for the editor and the publisher is "How can the different needs of the users of Dewey in the wider international community be reconciled with the need to maintain this standard?"

For many countries using Dewey, the most obvious need is for expansions of the class numbers for their literature, history, and geographic areas, where they are felt to

be inadequate to deal with the literature. These suggested expansions do not usually cause conflict with existing class numbers, but they do represent a difficulty relating to the published size of the Classification (the latest edition is in 4 volumes), as well as the processing costs for those applying the Classification in national and other agencies, and the libraries using their products. Expansions of this kind in the English language edition could not be justified by the literary warrant as represented in the literature base used to update the Classification. At the present time this literature base is the Library of Congress shelf list, but other databases may well be used in the future of supplement this. The amount of detail in the Classification would be shown to be unnecessary, the resulting class numbers would be too long, and additional processing time would add further costs. However, for the users in that particular country these arguments would not hold good.

When the English language edition was printed from metal type, the limitation on such expansions were very necessary, but now that the Classification is available in a machine-readable form, and maintained by a computer editorial support system, it should be possible to reconsider this whole question. It should be possible to include expansions, such as those suggested previously, in the machine-held files. For the published English language editions the print command would cut off at a pre-determined point. For users in any country the machine-held files could be made available, either online, in CD-ROM, or some other media; separate publications of these expansions could be printed; given a little ingenuity in coding the expansions in the files, it should even be possible to print variant English language editions

containing the relevant expansions for purchasers in a particular country. Future possibilities for this kind of expansion appear to be good; the English language edition would remain a standard, but the needs of other communities using an English language edition would be satisfied reasonably well.

The latest three editions (Ed. 18 to Ed. 20) have shown a steady increase in the internationalisation of the Classification.

"The processes of reducing the Western emphasis in DDC, begun in the 16th edition, continues: (Ed. 18, Preface, p. 9)

"In preparing an edition it is desirable to allow positively for the needs, both in detail and in order, of countries outside the U.S." (Ed. 19, Editor's introduction, p. xxiii))

Examples of this process can be seen in Class 324 The political process, in Ed. 19, where the heavy emphasis on the political parties of the USA in Ed. 18 was replaced with an entirely neutral schedule, and in Table 1 -074 Museums, in Ed. 20, where a similar emphasis has been replaced with a neutral schedule.

This process of internationalisation is aimed at satisfying the needs of the international community of users, but it is clear that there are certain limitations on this process. It is inevitable that the English language editions will continue to

reflect a basically Western view of the world, and it is unreasonable not to expect this. Although it may be possible to accommodate expansions in the Classification, already indicated, it is much more difficult to accommodate an entirely different culture or social organisation. However, it is not necessarily impossible as the Classification has the flexibility to allow certain options. For example, although there is a very marked Christian bias in 200 Religion, with an assumption in favour of Christianity in 200 itself, and 220 - 280 specifically devoted to that religion, it would be possible to substitute any other religion accommodated in 290 in these class numbers. Similarly, it would be possible to substitute any literature in 820 - 899 for American literature in 810. The fact that there are Arabic, Hindi, and Nippon editions of the Classification indicates the hospitality of the scheme to adaptations to reflect different cultures.

In the future, it may be possible to undertake these substitutions at a local, i.e. National level, where a copy of the machine-held file is kept, subsequently printing and publishing the adaptation, or making it available in some other form. If these various possibilities for variant "publications" are to be brought about, it is clear that they must be done with the authority and approval of OCLC/Forest Press. It is essential that effective control of the development of the Classification be maintained, or the authority of the Classification as an international standard will be weakened.

Surveys in a number of countries have been conducted to discover the users of the Classification, sizes and kinds of library, editions used, purpose of use, and so on

[Ref. 2, 5, 11, 28, 37, 40, 41, 42]. These surveys have usually been conducted by the relevant Library Association in the country concerned, and the survey methods and questionnaires have varied enormously. Whilst they have been useful in providing valuable information on the use of the Classification, they provide only an incomplete picture of its use internationally. The picture is most clear in English speaking countries such as Australia, Canada, UK, and USA, but even here some of the surveys were conducted a long time ago, so the information discovered lacks currency. The picture in other countries is decidedly patchy and knowledge of its use in some countries is just not available. It is perhaps time that OCLC/Forest Press commissioned and supported an international survey, since about 50% of the sales of the Classification are outside the U.S.A. and such information should be very valuable from a marketing point of view, particularly now that the text of the Classification is available in a machine-readable form.

The Dewey Decimal Classification is used to arrange a number of National Bibliographies, including the Australian National Bibliography, Greek Bibliography, Indian National Bibliography, Bibliografi Nasional Indonesia, Bibliogratia Nazionale Italiana, Bibliografi Negara Malaysia, Pakistan National Bibliography, El Libro Espagnol, British National Bibliography, and Bibliogratia Venezolana [Venezuela]. The extent to which the full schedules are used in these publications is in proportion to the literary output; in some cases only broad class numbers are used, on others the schedules are used to their fullest extent.

Surveys have shown that almost all libraries are using the Classification as a shelf location device, but some also use it as their main subject retrieval tool in classified catalogues. There have been complaints that the emphasis on this latter function should be reduced [Ref. 30], but I believe that this would be a disservice to those libraries requiring specificity. One of the main advantages of the Classification has been its flexibility in coping with a wide range of requirements and if libraries do not require detail and specificity, they do not have to use it.

The rapidity with which online catalogues are being introduced into libraries and the much greater possibilities of using the Classification as a means of subject retrieval throws the emphasis even further on to the retrieval aspects. If the Classification is to be used in this way, then we must expect its development to take account of this factor. Whether the Dewey Decimal Classification can be developed in order to perform this function is a large question which is beyond, the scope of this paper. However, such developments will have a bearing on the use of the Classification in all countries, and is, therefore, an important consideration.

Summary

This paper has provided an overview of the use of the Dewey Decimal Classification throughout the world : the translations available, the responses of those responsible for the maintenance of the Classification to the requirement to internationalise the English language editions, the activities of the profession in many countries in

providing a focus for discussion and an input into the editorial process; and the different ways the Classification is used. Suggestions are made for a more comprehensive international survey of use in order to provide evidence which would support its development as a more truly international scheme, and suggests possibilities for providing variant publications in order to satisfy a wider international community.

References

Most of the references for this paper were the result of a search in Library and Information Science Abstracts, 1977-1989. Wherever possible the LISA abstract number is given following the citation. References are arranged alphabetically by country or region, but also numbered sequentially for the purpose of text citation.

Australia

1. Edwards, Wendy. Australian literature : structure of headings in ASCIS and treatment in Dewey Decimal Classification, p. 7-15 In Cataloguing Australia, vol. 13, no. 2(July 1987). LISA 89-930.

2. McKinlay, John. Classification in Australian libraries, p. 131-134 In International classification, vol. 7, no. 3 (1980), LISA 81-3618.

3. McKinlay, John. Working with Dewey : Library Association of Australia's Dewey Decimal Classification Liaison Committee, June 1974 - August 1979, p. 42-47 In Cataloguing Australia, vol. 6, no. 2(Apr-Jun 1979). LISA 80-2407.

4. McKinlay, John. DC and Australia. p. 19-41 In Cataloguing Australia, vol. 2, nos. 3-4 (July-Dec 1976). LISA 78-1213.

Canada

5. Survey of Canadian libraries and their uses of Dewey Decimal Classification. p. 1-3 In National Library News. (National Library of Canada) (March-April 1987).

Denmark

6. Frils-Hansen, J. B. Library classification systems in Denmark. p. 91-93 In International cataloguing, vol. 3, no. 2(Nov 1976). LISA 77-660.

Fiji

7. Calvert, Philip J. Expanding the Fiji numbers in the Dewey Decimal Classification/ Philip J. Calvert and Bob Pearce. p. 63-70 In Fiji Library Association Journal, no. 1 (Apr 1979). LISA 80-3269.

France

8. Guillien, Genevieve. Le probleme de la traduction dans ses rapports avec l'edition francaise de la Classification Decimale de Dewey. p. 60-66 In Dewey International : papers given at the European Centenary Seminar on the Dewey Decimal Classification, Banbury, 1976/ Edited by J.C. Downing and M. Yelland. London : Library Association, 1977. LISA 77-2526.

9. Pelletier, Monique. Public libraries and the Dewey Decimal Classification. p. 539-546 In Bull. Biblioth. Fr., vol. 21, no. 12(Dec 1976). LISA 77-1836.

10. Pelletier, Monique. The French public libraries and the Dewey Decimal Classification. p. 67-75 In Dewey International : papers given at the European Centenary Seminar on the Dewey Decimal Classification, Banbury, 1976/ Edited by J. C. Downing and M. Yelland, London : Library Association, 1977. LISA 77-1836.

India

11. Ohyani, P. Use of DDC in special libraries in India : a survey. p. 42-50 In Herald of Library Science, vol. 21, no 1/2 (Jan-Apr 1982). LISA 84-4387.

12. Guha, B. Dewey Decimal Classification in Hindi. p, 281-284 In Ann. Libr. Sci. Docum., vol. 23, no. 4 (Dec 1976), LISA 77-3194.

13. Sharma, Pandey S.K. Dewey Decimal Classification of Indology. New Delhi : Uppai Publishing House, 1979, 294p. LISA 80-3267.

Israel

14. Porath, Reuven. The Tabenkin Institute Library (use of the Hebrew edition of DDC), p. 217-223 In Yad La Kore, vol. 13, no. 4 (Dec 1979), LISA 80-3697.

Italy

15. Crocetti, Luigi, Dewey italiano [Italian Dewey]. p. 221-226 In Bulletino D'Informazione, vol. 27, no. 2 (April-June 1987). LISA 88-5297.

16. Grignani, Elisa. [DDC a cataloghi online [DDC and online catalogues]. p. 43-50 In Biblioteche Oggi, vol. 4, no. 4 (July-August 1986). LISA 87-3159

17. Simonetti, Carlo Maria. Le fortune de Dewey. p. 23-52 In Biblioteche Oggi, vol. 3, no. 4 (July-August 1985). LISA 86-3148

Japan

18. Kobayashi, Yutaka. Areas table of Dewey 18 as compared with Nippon Decimal Classification, ed. 7 (in Japanese). p. 55-69 In Library and Information Science, no. 14 (1976). LISA 78-540

19. Yoshida, Satoshi. Report of the Technical Processing Groups meeting (in Japanese). p. 129-133 In ToshoKankai (The Library World), vol. 39, no. 3 (September 1987). LISA 88-6212

Jordan

20. Mohamud-El-Akhras. Palestinian-Jordanian Bibliography 1978 [in Arabic]. p. 39-72 In Rissalat-Rissalat-al-Maktaba, vol. 14, no. 1 (Mar 1979). LISA 80-164

Latin America

21. Rovira, Carmen. The present Spanish translation of the Dewey Decimal Classification, p. 76-91. In Dewey International : papers given at the European Centenary Seminar on the Dewey Decimal Classification, Banbury, 1976/ Edited by J.C. Downing and M. Yelland, London : Library Association, 1977. LISA 77-2527.

Malaysia

22. Dewey Decimal Classification, 18th ed. Schedules : history expansion for Malaysia (959.5). p. 99-100 In Majallah Perpustakaan Malaysia, vol. 4 (1976). LISA 82-378.

23. Dewey Decimal Classification, 18th ed. Table 2 : areas expansion for Malaysia (-595). p. 95-98 In Majallah perpustakaan Malaysia, vol. 4 (1976). LISA 82-376.

Melanesia

24. McConnell, Fraiser. Languages of Melanesia : problems and proposals for classification. p. 57-66 In Cataloging and Classification Q., vol. 5, no. 3 (Spring 1985). LISA 86-3149

25. McConnell, Fraiser. Peoples of Melanesia : proposals for revision of DDC 19, Table 5, p. 47-51 In Cataloging and Classification Q., vol. 5, no. 4 (Summer 1985). LISA 86-3696

Middle East

26. Momeni, Mahvash Keshmiri. Socio-cultural factors affecting the adaptations of the Dewey Decimal Classification in the Middle East. (PhD Thesis), Maryland : University of Maryland, 1982, 326p. LISA 84-2061

Netherlands

27. Dam, J. van. Die DK : nicht faitenlos, doch noch immer attraktiv (Decimal Classification : not without faults but still attractive), p. 15 In DK-Mitteilungen, vol. 28, no. 4 (July 1984). LISA 85-6203

Norway

28. Lund, Grete Ostgaard. Kartlegging av Dewey - brukere : Norge (Charting of Dewey users in Norway). p. 132-133 In Bok og Bibliotek, vol. 47, no. 2 (1980). LISA 82-2887

29. Norsk Deweyutvalg-hva driver de agentlig med ? (The Norwegian Dewey Committee - what do they really do ?) p. 474-475 in Bok og Bibliotek, vol. 47, no. 6 (1980). LISA 82-375.

30. Tveiteras, Aslang. Kontinuerelig omklassifisering hvis internasjonal prakis skai tilstrebes ? (Continuous reclassification if international practice is to be achieved ?), p. 29-31 In Bok og Bibliotek, vol. 51, no. 1 (1984). LISA 84-6088

31. Tveiteras, Aslang. Ny norsk Dewey-utgave - prinsipper og problemer (New Norwegian Dewey edition - principles and problems). p. 126-127 In Bok og Bibliotek, vol. 49, no. 4 (1982). LISA 84-381

32. Melhus, Gunvor. Ny norsk Dewey-utgave - prinsipper og problemer (New Norwegian Dewey edition - principles and problems). p. 275-277 In Bok og Bibliotek, vol. 49, no. 4 (1982). LISA 84-382

Pakistan

33. Subzwari, G.A. Dewey 19 in Pakistan's perspective. p. 9-18 In Pakistan Library Bulletin, vol. 12, no. 2 (June 1981). LISA 84-5521

Taiwan

34. Foramitti, Hans. The Chinese Central Library in Taipei, Taiwan [in German]. p. 271-284 In Biblos (Austria), vol. 29, no. 4 (1980). LISA 81-5144

United Kingdom

35. Downing, Joel C. Dewey today : the British and European scene. p. 59-77 In Major classification systems - the Dewey Centennial : papers presented at the Allerton Park Institute, November 1975, Allterton Park, Monicello, Illinois/ edited by K.L. Henderson. Urbana-Champaign, University of Illinois Graduate School of Library Science, 1976. LISA 77-1134

36. Sweeney, Russell. The Decimal Classification in Britain and the role of the Library Association Dewey Decimal Classification Sub-committee. p. 22-29 In Dewey International : papers given at the European Centenary Seminar on the Dewey Decimal Classification, Banbury, 1976/ Edited by J.C. Downing and M. Yelland, London : Library Association, 1977. LISA 77-2515

37. Sweeney, Russell. Dewey in Great Britain and Northern Ireland. p. 1,3-7 In Catalogue & Index, no. 76/77 (Spring/Summer 1985). LISA 86-3695

38. Sweeney, Russell. The development of the Dewey Decimal Classification. p. 192-205 In Journal of Documentation, vol. 39, no. 3 (September 1983). LISA 84-5520

39. Sweeney, Russell. Dewey Decimal Classification - Edition 20, p. 4-10 In Outlook on Research Libraries, vol. 11, no. 6 (June 1989).

United States

40. Comaromi, John. Dewey in the USA and Canada : summary of the survey of the use of the Dewey Decimal Classification in the United States and Canada. p. 3-6 In Catalogue & Index, no. 43 (Winter 1976). LISA 77-1136

41. Hollay, R.P. Classification in the USA. p. 73-78 In International Classification, vol. 13, no. 2 (1986). LISA 88-1529

42. Michael, Mary Ellen. Summary of a survey of the use of the Dewey Decimal Classification in the United States and Canada. p. 47-58. In Major classification systems - the Dewey Centennial : papers presented at the Allerton Park Institute, November 1975, Allerton Park, Monicello, Illinois/ edited by K.L. Henderson, Urbana-Champaign, University of Illinois Graduate School of Library Science, 1976. LISA 77-1135

Zambia

43. Rigg. J.A. Secondary school libraries in Zambia : some statistics and comments [includes use of DDC] p. 75-85 In Zambia Library Association Journal, vol. 11, no. 2 (Dec 1979). LISA 80-3628

IFLA GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

Division: BIBLIOGRAPHIC CONTROL

Section/RT: CLASSIFICATION AND INDEXING

119-CLASS-5(WS)-E

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

This document has been reproduced as received from the person or organization originating it.

Minor changes have been made to improve reproduction quality.

Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

The Use of the DDC in the Arab World

by

Dr. Mohammed M. Aman
Dean, School of Library and Information Science
University of Wisconsin-Milwaukee, U.S.A.
Consultant to Forest Press on the Arabic Edition of the DDC

and

Dr. Shawky Salem
Director of the Information Department
Arab Center for Medical Literature, Kuwait
Consultant to Kuwait Book Shop, Publisher of the Arabic Edition of the DDC

IR053260

Keyword(s):
Dewey Decimal Classification
Arabic Dewey Decimal Classification
Arabization of Dewey

For internal use only:

Meeting No: 149

SI: [redacted]/no

Estimated number of participants in the meeting: 145

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY
A.L. Van Wesemael

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Abstract

In 1984 an Arabic translation with appropriate modifications to suit the needs of libraries in Arab countries was published in Kuwait. The edition was the result of a joint collaboration between Forest Press, Publisher of the *Dewey Decimal Classification* and the Arab League Educational, Cultural and Scientific Organization. After a brief description of earlier efforts to Arabize the *DDC*, the authors describe the characteristics of the authorized Arabic edition and the significance of changes made to accommodate the subject orientation of collections found in libraries in Arab countries and the needs and expectations of their users.

Early Arabic/Islamic Classification

Classification of knowledge during the Arabic/Islamic Renaissance period was an occupation and avocation of scholars who were influenced by Greek philosophers like Aristotle and his classification of knowledge.

In the early days Arabic/Islamic classification, like Muslim philosophy, was based on Greek thought, expressed in Semitic tongue, and modified by Oriental influences. A number of scholars have published extensively on the history and philosophy of Arabic/ Islamic classification. (Aman, M. 1968, pp. 10-66)

Recent Developments in Arabic/Islamic Classification

Modern Arabic classification dates back to 1929 when the Egyptian National Library prepared a modified Arabic edition for *Dewey Decimal Classification*. That Arabic edition of the *DDC* was then used for the classification of books in the branches of the Library as well as for its classified printed list of publications. In 1947, a number of translations and some adaptations of the *Dewey Decimal Classification* appeared in Lebanon. Most notable among the titles and authors was: Philip de Tarazy, then the National Librarian of Lebanon, whose book *Irshad al-A'arib ila Tandhim al-Kutub wal-Makatib* was published in Beirut by the Ministry of Education and Fine Arts (378p.). In his Arabic version, Tarazi gives the French term opposite the Arabic. Also notable was another Arabic version published in 1947 by Yousif As'ad Dagher as part of the second volume of his *Dalil al-A'arib ila Fann al-Kutub wal-Makatib/ Manuel Pratique de Bibliographie et Bibliotheconomie a l'Usage des Pays du Proche-Orient* (Beirut: n.p., 1947. 634p.). In 1949 Khalid al-Hadidy's *al-Tasnif al-'Ashri wa Tatbiquh fil-Maktabah al-'Arabiyah* (Decimal Classification and Its Application in the Arab Library), was published in Cairo by Dar al-Shorouk (40p). The schedules were later republished under the title *Gadawil al-Tasnif al-Ashri* (Schedules of the Decimal Classification) in *al-Maktaba al-Madrasiya al-Haditha* (Modern School Library), published for the Egyptian Ministry of Education by Dar al-Ma'arif in 1958. Later in 1952, another version of the third summary of *DDC* was published in Baghdad, Iraq, by Nihad Abdul Mejid as part of his book *The Art of Library*

Organization (Baghdad, 1952) and in 1977 another Iraqi, 'Amer Qandilji, published in 1977 *Ta'dil Tasnif Dewey al-'Ashri lil-Maktabat al-'Arabiyah* (Modification of the Dewey Decimal Classification for Arab Libraries). School librarians relied for the most part on Midhat Kazim's book *Nizam Dewey al-'Ashri* (Cairo: Anglo Egyptian Bookshop, 1968. 146p.)

Shortly after the publication in the U.S. of the 15th standard edition and the ninth abridged edition of the *DDC* in 1952, Mahmud al-Sheniti and Ahmad Kabesh published a translation of the abridged edition in 1960. A second edition appeared in 1977 (Cairo: Dar al-Ma'arif, 321p.). The following year, 1978, Mahmoud al-Akhras's *Nidham al-Tasnif al-'Ashri* (Dewey Decimal Classification System) was published by the Jordan Library Association in 208 pages. One year later, Fou'ad Ismail Fahmy published in Saudi Arabia an abridged translation of the 18th edition of the DDC under the Arabic title *Abridged Decimal Classification-Tables: Modified Abridged Translation for Edition 18*. (Riyadh: Dar al-Marrikh, 1979, 239p.)

In many of the brief translations and adaptations the third summary of the *DDC* was always the target. Most adaptations centered on the classes dealing with philosophy, religion, law, language, literature, geography and history. In some translations, ISLAM was subdivided under 210-219, while in others it was assigned a number from 229-270. "ARABIC & ISLAMIC HISTORY" was assigned the classification number 956 in some translations, and 229-270 in others.

In examining these translations/adaptations, a few problems present themselves. The translations are the work of individuals with no input or sanctions from major organizations or institutions or fellow librarians. Their efforts contributed to a setback for Arab libraries since they hindered standardization of classification in the Arab world. None of these classifications, particularly the lengthy versions, included indexes or auxiliary tables. Without exception, they all lack mechanisms for revision and updating. Very few were able to specify the original edition which was used for their translations, although careful examination of the lengthy works published since the 1970's indicate that the authors relied on the 18th edition.

Regardless of the legal or ethical aspects involved in the pirating of the *DDC*, or the quality of these translations and or adaptations, there is one certain factor: they have contributed to the widespread use of the *Dewey Decimal Classification* in libraries of the Arab world. Estimates of the number of Arab libraries using one form or another of the *DDC* are as follows:

20	National libraries
500	University libraries
5000	Special and corporate libraries
500	Public libraries
20000	School libraries

These figures compare very favorably with the estimated 200 libraries and information centers using the Library of Congress Classification and others primarily scientific and technical libraries using the Universal Decimal Classification, and one university library in Khartoum using a version of the Bliss Classification. More than 21 library and information science programs, primarily on the undergraduate level, teach courses and workshops on classification with primary emphasis on *DDC*.

Not all these figures translate into sales figures reported by Forest since few of the Arab libraries place orders for the original English edition. Sales from the 19th edition of *DDC* reported by Forest Press are 162, less than the 420 copies of the 18th edition sold to Arab countries between 1972 and 1980. The abridged 11th edition sold 183 copies between 1979 and 1987. In contrast, sales from the Arabic edition reported by its publisher Kuwait Bookshop reached more than 3,000 copies during the past four years.

The Authorized Edition of the Arabic DDC

The first attempt to plan the publishing and editing of the *DDC* was made in 1979, when Dr. Mohammed Aman, then Dean of the School of Library and Information Science at Long Island University and Mr. John A. Humphry, then Executive Director of Forest Press conferred on the proposed official translation/adaptation of the *DDC*. After negotiations with the Arab League Educational, Cultural and Scientific Organization (ALECSO), it was decided in early 1980 that Forest Press would enter with ALECSO into an agreement for the production of an Arabic version of the *DDC*. (Aman, M. 1982) This decision was part of an overall policy of Forest Press to put an end to unauthorized publications of the *DDC* and to establish a system for coordinating the translations and adaptations of the system without violating its basic structure. Forest Press and the DDC Committee also became increasingly aware of the importance of assisting foreign countries in their efforts to introduce a standardized classification scheme which takes into account their linguistic, cultural, sociological and historical requirements. The 1980's became a period of active involvement by Forest Press in the international market.

Characteristics of the Arabic Edition

From the beginning representatives of the Arab League Educational, Cultural and Scientific Organization and Forest Press were in agreement regarding the major shortcomings of the original *DDC* in the treatment of Arabic language, culture, history and the dominant religion of Islam. It was agreed that changes were necessary to meet the needs of Arab libraries.

It would be false to assume that the authorized Arabic edition has solved all problems. The fact that the Arabic edition is based on the abridged 11th edition, with expansions borrowed from the 19th edition for language, religion and history, has resulted in the reluctance of some major university and national libraries to use the edition. Many li-

brarians have called for the translation and adaptation of the latest full edition of *DDC*. The index with its 14000 entries is not considered comprehensive enough as an aid to classifiers. Furthermore, the Arabic edition has not been kept up-to-date as promised by ALECSO.

The Arabic edition places topics of great importance to the Arab/Islamic world ahead of others. This is a key issue for Arab/Muslim librarians who view the rearrangement as a cultural and religious necessity which takes into consideration the practical needs and expectations of their users. As a result, the Arabic edition places Islam ahead of Christianity and uses the range of numbers assigned to Christianity to accommodate the predominant literature on Islam and related subjects. Other equally important subjects were assigned prominent places in other classes in social sciences and history. The integrity of the system remained in spite of these essential changes. The Editor of the original *DDC*, Dr. John Comaromi, was consulted at all times on any variations and changes in the original edition.

There are two components to the Arabic edition: the first is a translation of subjects which are neutral or do not require any modification to suit the needs of Arab libraries. The second is a translation of subjects which need modifications to fulfil the needs and requirements of the Arab/Islamic collections in Arab libraries. Most of the modifications are based on the full 19th edition.

Notable Changes in the Tables of Classification in the Arabic Edition

Notable among the changes and adaptations are the following:

000 General encyclopedias: the changes here reflect the official option in the original edition of the *DDC*.

031 Arabic Encyclopedias replace "American Encyclopedias", which are moved to 032.

051 Serials in Arabic instead of American and British serials, moved to 052

061 Arabic and Islamic Organizations and Societies; originally assigned to North America, moved to 068.7

071 Journalism and Newspapers in the Arab World

079.7 Journalism and Newspapers in North America

081 Collections in Arabic

082 Collections in English (including American Collections)

091.1 Arabic manuscripts, followed by manuscripts in other languages, e.g. 091.2 American and English Manuscripts,

091.3 German Manuscripts, etc.

The Philosophy Class (100's) shows the extent to which the original *DDC* was based on the concept of serving the needs of the Western world. The changes in the

Arabic edition concentrate on the use of 181.1 for Islamic Philosophy, as a subdivision of Eastern Philosophy in 181, followed by Ancient Egyptian Philosophy in 181.2, Ancient Philosophy in Palestine 181.3, Philosophy in the Middle East and South East Asia 181.45 and Philosophy of Mesopotamia (including Babylonian, Assyrian and Kaledonian Philosophy) in 181.6. Under Medieval Philosophy 189, the subdivision 189.1 is assigned to Islamic Philosophy, while 192 stands for Contemporary Philosophy in the British Isles (originally 192). U.S. and Canadian Philosophy is reassigned to 199.7.

In the 200's class, the Arabic edition reserved the class numbers from 201 to 219 for works on Islam and 220 for the Holy Qur'an. Christianity and Christian Thought were reassigned to classification number 230 to 280 and their subdivisions are listed under 230.1 and 230.2-3. Other religions are assigned to 299. This is a practice that has been followed in other adaptations of the DDC in Muslim countries such as Pakistan and Indonesia. (Vann 1984, p.7). It should be noted that in spite of efforts by some librarians in the Muslim world to publish classification schemes exclusively on Islam, none has been adopted by any library or institution in the Muslim world. Examples of such schemes are: Abul Nur, Sardar (1979), and Usmani (1982).

A number of adaptations were made in the 300's (Social Sciences) to accommodate the extensive collections that libraries in the region would have on the Arab world. The Arabic edition incorporates changes made in previous translations and adaptations, as well as recommendations received from experts and scholars whose advice was sought in preparation for this Arabic edition. 324.2 was subdivided further with appropriate modifications and expansions to accommodate Arabic subjects. The expansions in this subdivision are based on the full 19th edition.

Islamic law is reassigned to Islamic Religion instead of in 340.59. Certain cultural and societal biases were taken out. An example is 364.183, "Polygamy" which is mentioned in the 19th edition as an example of a criminal offense. Perhaps this is the case in the U.S., but in the Arab and Muslim world it is not a crime. Similar differences became apparent in discussing "age" under 362.6. Whereas 65 and lately 70 is the retirement age in the U.S., 60 is the mandatory retirement age in the Arab world, and this is noted in the Arabic edition.

Religious education is an important topic in the Arab world which practices all three major world religions (Islam, Christianity and Judaism). It was felt necessary by the editors and consultants to the Arabic edition to assign religious education to 372.84.

In the 400 class, modifications have been made to accommodate the needs of Arab libraries. Arabic language is assigned the subdivision 410 and its sections. Other linguistic groups are also incorporated into these sections such as, Northern Arabic language, Southern Arabic Language, and non-standardized Arabic such as Maltese, etc.

As was pointed out above no significant changes were made in the 500's and 600's except that "Islamic Calendars" is assigned 529.321 and modified according to subdivisions under Islam.

Art in the Arab world is classified in 708.1 and 708.97 is reserved for Art of North America. Ancient Oriental Architecture is reserved a special place with subdivisions in 722.1-722.5. Islamic architecture (including Moorish and Mudejar) is divided historically and geographically under 723.3. Mosques and minaretes which have produced a wealth of publications in and outside the Arab world are assigned the number 726.2, with the possibility of expansion for specific mosques and/or geographical subdivisions by using standard subdivision 09.

As is the case with other Arab oriented subjects, Arabic literature took the place of English and Anglo-Saxon, which is reassigned to 820. It is further subdivided by adding Arabic letters designating the country such as "AS" for Australia, "AN" for English, "K" for Canada and "AR" for Ireland.

In the History class, details of the history of the Arab countries and the early history of Islam are assigned new numbers based on the revisions and adaptations used at the University of Jordan Library. In the Arabic edition, the notations assigned to Arab countries result in the close proximity of these histories instead of being dispersed in the original DDC according to location within the continents of Asia and Africa. Under 961 "North Africa," the following subdivisions are found: 961.1 Tunisia, 961.2 Libya, 961.4 Morocco, 961.5 Algeria. Egypt notation remains unchanged under 962, but the Sudan is assigned its own number under 963 followed by other countries. The new changes in the Arabic edition also allow for the possibility of adding new countries such as Iritria under 967.72. As part of the revisions and relocations of certain topics, Zionism was moved from 956.94001 to 320.54 along with the PLO.

Changes in Auxiliary Tables

Some changes have been made in Table 1 "Standard Subdivisions" in order to accommodate changes in the notation for Arabic language. Table 2 has also been modified to incorporate scope notes under sections that can be subdivided from 3 to 9 by language, race, and religion, such as -174 (regions which are dominated by race and/or national origin); -175 (regions which are dominated by a language group), and -176 (regions which are dominated by certain language). Furthermore, subdivisions for the ancient world, especially those in Arabia (Carthage, Tripoli, Cirenaica, etc.) are added.

Subdivisions of individual literatures in Table 3 and Individual Languages in Tables 4, have been revised to accommodate the new changes in the notations for Arabic literature and language. The Table for Racial, Ethnic, and National Groups (Table 5) has been revised to incorporate various ethnic groups that are not represented in the English edition. Such groups include: Semites, Maltese Arabs, North Africans, Copts, Berbers,

Somalis, etc. Table 6 "Languages" incorporates other linguistic groups such as Northern Arabic Languages including Maltese, Southern Arabic Languages, Egyptian Languages (931), Coptic Languages (932), Berber Languages (933), and Kushati Languages (935). Table 7 "Persons" has been modified on the basis of Table 5. Notations for "Persons in Religion" has been revised to conform with modifications made in the section on Islam.

Future Outlook

The momentum which has resulted from the publication of the first authorized Arabic edition of the *DDC* under the direct supervision of an Arab organization recognized for its leadership in the field of education, culture and science, should be continued. The Arabic *DDC* must continue to seek input from scholars and practicing librarians in the Arab world. There is a great deal of interest in translating and adapting the unabridged 20th edition. To accomplish this task, financial resources are needed. ALECSO should continue to coordinate the academic, professional and editorial work while Arab philanthropic foundations provide the financial support needed to produce a full Arabic edition based on the newly released 20th edition of *DDC*. Editors of the Arabic edition and ALECSO should continue to provide the *DDC* editor with comments relevant to the needs of Arab/Muslim classifiers, so that necessary changes and corrections could be incorporated into the future editions.

The new Arabic edition should be produced in machine-readable form in order to facilitate editing, text processing, comprehensive indexing and future revisions and updates. It should also take into consideration the following:

- The comprehensiveness of the analytical index to cover all aspects and facets of items in tables and to clear the analytical relations between items;
- to verify the Arab geographical and historical terminology, especially the developments and changes during the last decade 1979-1989;
- to update and modify the items related to the Arab environment.

The new English editions of DDC must study carefully the added or modified entries in the Arabic edition and consider them for inclusion in the English editions (especially for Islamic religion, Arabic language, Arabic geography, Arabic history and the auxiliary tables).

References

Aman, Mohammed M. *Analysis of Terminology, Form and Structure of Subject Headings in Arabic Literature...* Pittsburgh: University of Pittsburgh, 1968. pp. 10-66.

Aman, Mohammed M. *The Arabic Dewey Decimal Classification*,. Presented at the IFLA's Standing Committee on Classification and Cataloging, Montreal, August 25, 1982. (IFLA:44/CLAS/2-E(b))

Abu-al-Nur, Abdel Wahhab. *Al-Tasnif al-Bibliugrafi li-'Ulum al-Din al-Islami*. Cairo: Dar al-Thaqafa lil-Tiba'a wa-al-Nashr, 1973.

al-Akhras, Mahmoud. *Nizam al-Tasnif al-'Ashri*. (Decimal Classification System). Amman: Jordan Library Association, 1979. 208p.

Isam'il, Fou'ad Fahmi. *al-Tasnif al-'Ashri al-Mougaz* (Abridged Decimal Classification). Riyadh: Dar al-Marrikh, 1979. 239p.

Sabzwari, Ghaniul Akram. "Universal Islamic Classification," *Pakistan Library Bulletin*, 13(2):1-20, June 1982.

Sadiq, Husein. "Tasnif Dewey al-'Ashri," *'Alam al-Kutub*, 5(2):407-413, 1983.

Sardar, Ziauddin. *Islam: Outline of a Classification Scheme*. London: Clive Bingley, 1979.

Satija, M. P. "Momeni Mahvash Kashmiri: Socio-Cultural Factors Affecting the Adaptation of the Dewey Decimal Classification in the Middle East," *International Classification*, 12 (1):39-41, 1985.

Tasnif Deui al-'Ashri (Dewey Decimal Classification) First Arabic edition based on the 11th abridged edition-approved by Forest Press. Edited by Mohmud al-Akhras. Kuwait: Kuwait Bookshop, 1984. 2 volumes.

Usmani, M. Adil. "Classification System for Islamic Literature and Muslim Countries," *Pakistan Library Bulletin*, 13(2) June 1982.

Vann, Sarah K. *The Dewey Decimal Classification: Observations on Its Use in Eight Asian Countries*. Honolulu, Hawaii, March 1984. 10p.

IFLA

Division: BIBLIOGRAPHIC CONTROL

Section/RT: CLASSIFICATION AND INDEXING

121-CLASS-7(WS)-E

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

This document has been reproduced as received from the person or organization originating it.

Minor changes have been made to improve reproduction quality.

Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

International Aspects of DDC 20

by

Julianne Beall

Assistant Editor, Dewey Decimal Classification

Decimal Classification Division

Library of Congress

Washington, D.C., U.S.A.

IR053260

Keyword(s):

Dewey Decimal Classification

For internal use only:

Meeting No: 149

SI: [redacted]/no

Estimated number of participants in the meeting:

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

A.L. Van Wesemael

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

COPIE REALISEE SUR COPIEUR RANK XEROX

ABSTRACT

J. Beall (USA). International Aspects of DDC 20

Changes made in DDC 20 to facilitate its use around the world include expansion of the tables for geographic areas, for ethnic and national groups, and for languages; expansions of the history, language, and literature schedules; complete revision of the music schedule; and many scattered improvements. Input leading to internationalization has come from national library associations, national libraries, translators of the DDC, United States librarians especially interested in international collections, and the Decimal Classification Editorial Policy Committee. Constraints on internationalization include time, a limit on the number of relocations, difficulty in determining how best to subdivide some numbers, and a need to keep the standard international edition small enough to be affordable.

COPIE REALISEE SUR COPIEUR RANK XEROX

What changes have been made in DDC 20[4] to facilitate its use around the world and its use for collections of international coverage? What changes have resulted from international input? The most important of these changes will be described first in the tables, then in the schedules, except that the history schedule (900) will be considered along with the area table (Table 2), and the language (400) and literature (800) schedules will be considered along with the language table (Table 6). Finally the inputs to and constraints on such change will be summarized.

The geographic areas in Table 2 and the historical periods in 900 have been updated throughout and much expanded in many places. New numbers for cities are scattered throughout the table. There are also many new class-here notes for those cities where the books about the city are much like books about the next higher jurisdiction to which it belongs, so that classing both areas in the same number seems best; for example, at T2--4663 Vizcaya (Biscay) is the note "Class here Bilbao." This kind of note signals that standard subdivisions and historical periods can be added for the city just as for the higher jurisdiction. In the index, geographic names and the names of heads of state used to identify historical periods are given in the form specified by the second edition of the Anglo-American Cataloguing Rules (AACR2) (minus the dates for personal names). If the names had been established at the Library of Congress or (for Canadian and British names) at the National Library of Canada or the

COPIE REALISEE SUR COPIEUR RANK XEROX

British Library in 1986-1987 when a search was made, the established form is given; otherwise, an AACR2 form was supplied by the Dewey editors. AACR2 forms of name will be familiar to many users of DDC 20 because AACR2 is widely accepted in English-speaking countries and in countries with English as a strong secondary language; in addition, AACR2 has been translated, or is in the process of translation, into 14 other languages.[2] Important alternate forms of names have also been indexed in DDC 20. In the area table, when vernacular names for administrative divisions are widely used, especially in the AACR2 form of name, both vernacular and English terms are given in the captions, e.g., Freiburg Regierungsbezirk (district).

In Europe, the Table 2 provisions for Germany have been clarified and expanded, with 85 new numbers for districts and cities. The tables for the Netherlands, Belgium, and Switzerland have been expanded so that all provinces and cantons and some important cities have their own numbers, for a gain of 57 numbers. Many new numbers for historical periods have been added to the history schedule for Europe, especially for Austria, Czechoslovakia, Poland, Spain, Portugal, Bulgaria, and Romania; for example, the medieval period of Austria, 481-1500, previously undivided, now has four subdivisions. The British Library contributed many suggestions for subdividing historical periods.

In Asia, the major change in Table 2 is the expansion of the table for Japan so that all prefectures and some major cities

COPIE REALISEE SUR COPIEUR RANK XEROX

have their own numbers, for a gain of 49 numbers. In accordance with Forest Press's policy of continuous revision, the expansion and slight revision was first published in Dewey Decimal Classification Additions, Notes, and Decisions (DC&).[3] It was done at the request of and in cooperation with the Private University Library Association of Japan. In the schedule for the history of Asia, the major expansions are new period numbers for China and Turkey. The expansion for China (like many other changes for Chinese subjects) was recommended by William Hwang, a decimal classification specialist at the Library of Congress who has been assigning DDC numbers to Chinese-language books.

In Africa, the area table for Nigeria was expanded by 21 new numbers, with the intent of giving each state its own number. An update to provide for the two new states is planned for the first DC&. The expansion of Nigeria was sparked by a proposal from the British Library. The area table for the Sudan has been reworked, and the new names for the provinces are given. The names of the provinces of Morocco have been added. Elsewhere in Africa, too, names of cities, provinces, and regions have been added to the tables and index. The numbers for the islands of the southwest Indian Ocean under T2--69 have been revised.

The area table for South Africa has been expanded by 44 numbers, with many, many place names added. The major change made between the first version of the table published in DC&[4] and the 20th edition is the relocation of Botswana, Lesotho, and Swaziland from T2--681 to T2--688, which removes them from within

COPIE REALISEE SUR COPIEUR RANK XEROX

the span of numbers devoted to South Africa and places them near the number for Namibia. This Table 2 expansion and other developments for South Africa have been done in cooperation with the South African Institute of Library and Information Science; the African Section of the Library of Congress; the Archives-Libraries Committee, African Studies Association; and the American Library Association's Committee on Cataloging: Asian and African Materials (CCAAM). These groups hold sharply divergent views on many points, representing the divergent views of the users of the table and the literature that it must classify.

In the history schedules for Africa, more names of major heads of state have been used to identify historical periods; for example, in the history schedule for Malawi, the caption for 968.9704 has been changed from "Post-Federation, 1964- " to "Administration of H. Kamuzu Banda, 1964- ." Many early African kingdoms and empires have been moved from inappropriately broad numbers to their specific time periods and areas, e.g., the Songhai empire to a new history period number 966.2018, the kingdom of Benin to the specific part of Nigeria at 966.9301 rather than in the general number for Nigeria. There are new history period numbers for Nigeria, Sao Tome and Principe, and various other countries. The schedule for the South African War has been expanded in a manner analogous to the earlier expansion for the Vietnam War. New period numbers have been provided under the history of Natal for the period of the Nguni kingdoms and the reign of Shaka.

COPIE REALISEE SUR COPIEUR RANK XEROX

In Canada, the new regions of the Northwest Territories are now given, with a detailed manual note to make clear what goes where. The table for British Columbia (T2--711) has been completely revised and has grown by 7 numbers. Many geographical names have been added. The table was developed by staff at the National Library of Canada in consultation with the Cataloguing Department of the British Columbia Legislative Library. Staff at the National Library of Canada also drafted a revised table for Quebec (T2--714) showing the new administrative regions. David Balatti, Chief, Subject Analysis Division, and leader of the team, wrote when he mailed the draft tables. "The four of us have hardly seen the light of day for the past six weeks as we've closeted ourselves in dreary boardrooms with a mass of maps, atlases, gazeteers, screen prints and shelflist cards. . . I'd like to conclude by saying it was a great experience."[5]

In Latin America, the Table 2 development for Chile (T2--83) has been revised to update the political divisions, with a special effort to avoid unnecessary relocations, and has been expanded by 25 numbers. In the history schedule, new period numbers have been added for Mexico and for a few South American countries. The period numbers for Guatemala, Belize, Honduras, El Salvador, Nicaragua, and Costa Rica have been revised to reflect the individual histories of the countries. (In the 19th edition, the same period table was used for all these Central American countries.) The revised periods reflect the periods developed for the Spanish translation and adaptation of the DDC,

COPIE REALISEE SUR COPIEUR RANK XEROX

Sistema de Clasificacion Decimal;[6] but on the advice of the Decimal Classification Editorial Policy Committee (EPC), the notation has not been copied from the Sistema; rather, the 19th edition numbers have been retained as much as possible, to minimize relocations. The period numbers for Panama have also been revised. The Hispanic Division of the Library of Congress gave assistance in preparing these history tables.

The Table 2 development for Melanesia (relocated from T2--932-937 to T2--95) and New Guinea (T2--95) was revised and expanded by 26 new numbers. Historical periods are given for New Guinea, which previously had none. Both developments were done in response to proposals from and in cooperation with Fraiser McConnell, then at the National Library Service of Papua New Guinea.

In the area table for Polynesia and Micronesia, Wallis and Futuna Islands (T2--9616), Niue (T2--9626), Kiribati (T2--9681), and Tuvalu (T2--9682) have been given their own numbers.

Table 5 Racial, Ethnic, National Groups has been expanded, especially for Dravidians, Africans, and American native peoples. Expansions and clarifications have been made primarily along linguistic lines, with numbers often being defined in terms of peoples who speak, or whose ancestors spoke, a particular language or group of related languages. A number has been added for Palestinian Arabs (T5--9274). Many names of peoples have been added to the index. The African Section of the Library of Congress; the Archives-Libraries Committee, African Studies

COPIE REALISEE SUR COPIEUR RANK XEROX

Association; and CCAAM assisted in the development of both Table 5 and Table 6.

In Table 6 Languages the development for African languages has been much expanded. In particular, the provision for Bantu languages has grown from 2 to 29 numbers. The language schedule (400) and literature schedule (800) have been expanded to match Table 6, so that detailed subdivisions from Tables 3 and 4 can be used with living languages having their own numbers in Table 6. Nineteen additional African languages are accorded this treatment, from Amharic to Zulu. A few new provisions have been made for Asian languages, with Assamese, Bihari, Pashto (Afghan), and Azerbaijani gaining their own numbers. There have been some expansions for American native languages, with Quechua gaining its own number. Many more language names have been added to the index than could be listed in example notes in the table. In the literature schedule, the period table for German literature has been revised and slightly expanded. The period tables for Chinese and Japanese have been much expanded.

In the philosophy schedule there are new numbers for schools of Chinese philosophy (181.112-181.115). Confucian and Taoist philosophies are treated as philosophical schools, no longer as philosophies based on religions.

In the religion schedule, a class-here note at 250 and a new number at 262.26 have both been added to improve treatment of basic Christian communities. Of the six new numbers provided under 291 Comparative religion, five can be used to create

COPIE REALISEE SUR COPIEUR RANK XEROX

numbers for specific non-Christian religions, e.g., Buddhist mysticism 294.34422 (from 291.422). A few new numbers have been added for Judaism, e.g., 296.83322 Habad Lubavitch Hasidism. Babism (297.92) and the Bahai faith (297.93) have been moved from 297.8 to separate them more clearly from Islamic sects. The provision for religions of South American native origin at 299.8 has been expanded to match the provision for religions of North American native origin at 299.7.

The caption "Adults aged 65 and over" has been changed to the less specific "Late adulthood" in the sociology schedule at 305.26 and elsewhere in the DDC because translators working on the Arabic edition of the DDC pointed out that 65 is not the usual age of retirement in all cultures.[7] Sociolinguistics has been moved from 401.9 to 306.44, and new provisions have been given for the sociology of bilingualism and multilingualism (306.446) and for language planning and policy (306.449).

In the political science schedule, notation 08 in the table for political parties under 324.24-324.29 has been broadened to cover parties not primarily identified by position on the right-to-left spectrum, e.g., environmentalist, libertarian, and separatist parties. Nationalist parties have been moved from 03 Rightist parties to their own number 083 Nationalist parties. These changes should make the standard table for political parties easier to apply to many countries. The outdated special development for the political parties of South Africa at 324.268 has been regularized to match the standard table for political

COPIE REALISEE SUR COPIEUR RANK XEROX

parties.

In the art schedule, the treatment of Oriental architecture and sculpture has been made consistent with that of Western architecture and sculpture (720-724, 730-735). Previously, Oriental architecture and sculpture were bracketed with ancient architecture and sculpture in 722 and 732.

The completely revised music schedule (780) was developed internationally. The (British) Library Association's Dewey Decimal Classification Subcommittee recommended revision of 780 and made a general proposal on how the revision might best be made. Forest Press made a grant to the Library Association to fund a project. Russell Sweeney of Leeds Polytechnic, project director, and John Clews, research assistant, prepared a draft schedule based very largely on the subject analysis carried out by E. J. Coates for the British Catalogue of Music Classification. The Proposed Revision of 780 Music[8] was published in 1980 with a request for comments and suggestions. The DDC editors revised the proposed 780 in light of comments received from individuals and professional associations in several countries.

The new music schedule is intended to be hospitable to the music of all cultures. The classification for instruments and their music is based on the Sachs-Hornbostel classification,[9] which arranges instruments according to the physical characteristics by which they produce sound. Instruments from all cultures can be classified according to these

COPIE REALISEE SUR COPIEUR RANK XEROX

characteristics; for example, the naqara, tabla, and timpani are classed in 786.93 as kettle-shaped drums; the dulcimer, santir, and yang ch'in are classed in 787.74 as board zithers. Because the 20th edition has more detailed breakdowns than the 19th edition, more specific numbers are available for many types of non-Western as well as Western instruments. For example, in the 19th edition, the lyre was classed in the one number for harps; now there are three subdivisions for types of harp and a separate number for the lyre. Hence the begana (Ethiopian lyre) at 787.78 and the kora (West African harp-lute) at 787.98 are no longer classed in the same number. The names of many non-Western instruments have been added to the index. There are provisions at 781.621-781.629 for expressing multiple facets of folk music of specific racial, ethnic, national groups, and there is provision at 781.69 for non-Western art music. Digits from these numbers can be added at many points in the music schedule.

As shown above, input leading to internationalization in DDC 20 has come from various national library associations and national libraries, from translators of the DDC, and from United States librarians especially interested in international collections. In addition, throughout development of DDC 20 there was international influence within the Decimal Classification Editorial Policy Committee (EPC), which advises Forest Press on editorial matters--a British member (first Joel C. Downing, Director of Copyright and English Language Services, the British Library, then Russell Sweeney, Head of Department of Library and

COPIE REALISEE SUR COPIEUR RANK XEROX

Information Studies, Leeds Polytechnic, England) and a Canadian member (Margaret E. Cockshutt, Professor, Faculty of Library and Information Science, University of Toronto). Professor Cockshutt was chair of EPC 1980-1985. One of the many contributions of these EPC members is to help the DDC editors avoid tripping over differences in terminology between the United States and other English-speaking countries. For example, Russell Sweeney, along with Ross Trotter of the British Library, helped the editors avoid misusing the word "city" in the Table 2 development for the United Kingdom. In connection with the new development for television, Margaret Cockshutt pointed out that "pay television" has a different meaning in Canada than in the U.S. (see notes at 384.555 and 384.5554).

The DDC editors, Forest Press, and EPC are aware that more work needs to be done to internationalize the DDC. What constraints kept more from being done for DDC 20? First, time. Changes that should be made to internationalize the classification must compete for the editors' time and attention with other changes that need to be made, such as updating to keep abreast of rapidly changing technologies. The editors gave to EPC a long list of desirable changes for the 20th edition, with their own priorities indicated. That committee determined its priorities, and the prioritized list became the editors' agenda. Many desirable changes unfortunately were crowded off the high priority list. A second constraint is a limit to the number of relocations and complete revisions that can be allowed in one

COPIE REALISEE SUR COPIEUR RANK XEROX

edition, so that libraries are not overwhelmed with the amount of change. A third constraint is difficulty in determining how best to subdivide some numbers, for example, if a country has different administrative divisions for different governmental functions and none is clearly of primary importance, or if linguistic experts do not agree about how particular languages are related. Overcoming this kind of difficulty takes time, and for some topics time ran out for the 20th edition.

Another limitation is the difference between local needs and general international needs. Topics that are extremely important in local collections may not be much represented in libraries outside the local area, not even in large collections with international coverage. If the standard international edition of DDC were expanded to cover all local needs everywhere in the world, it would become so large and require so much editorial upkeep that few libraries would be able to afford it. If some areas were fully expanded and others were not, the result would be gross imbalances in the Classification. Yet the DDC should be as responsive to local needs as it reasonably can be. With these considerations in mind, EPC adopted the following policy in 1985: "When requested by an offical body, history periods for any country should be considered for expansion though not necessarily to the extent requested."[10] Presumably the same kind of policy would apply to requests from official bodies for expansion of area tables, language tables, and the like.

What about changes for the 21st edition? At its meeting in

COPIE REALISEE SUR COPIEUR RANK XEROX

April 1990, EPC will hold its first major discussion of what the changes should be. Suggestions are invited and may be sent to the chairperson of EPC care of Forest Press/OCLC (85 Watervliet Avenue, Albany, N.Y. 12206-2082 U.S.A.). With the current policy of continuous revision, changes can be published in DC& or as separates as soon as they are ready.

COPIE REALISEE SUR COPIEUR RANK XEROX

[1]Melvil Dewey, Dewey Decimal Classification and Relative Index, 20th ed., edited by John P. Comaromi [and others] (Albany, N.Y.: Forest Press/OCLC, 1989).

[2]"AACR2 has been translated, or is in the process of translation, into Arabic, Bahasa Malaysia, Chinese, Danish, Finnish, French, Italian, Japanese, Norwegian, Portuguese, Spanish, Swedish, Turkish, and Urdu." Anglo-American Cataloguing Rules, 2nd ed., 1988 revision (Chicago: American Library Association; London: Library Association; Ottawa: Canadian Library Association, 1988), p. xiii.

[3]DC& 4, No. 5 (Spring 1985), 63-68.

[4]DC& 4, No. 5 (Spring 1985), 69-87.

[5]Letter, David Balatti to Winton E. Matthews, Jr., August 29, 1986.

[6]Melvil Dewey, Sistema de Clasificacion Decimal, planeado originalmente por Melvil Dewey; adaptado y traducido bajo la direccion de Jorge Aguayo; con adaptaciones para los paises de habla espanola (Albany, N.Y.: Forest Press, 1980).

[7]"Arab classifiers felt that 60 is the age of retirement in the Arab World and therefore should be used instead [of 65 in the Arabic edition], or omitted." Mohammed M. Aman, "The Arabic Dewey Decimal Classification" (Paper presented at the 48th Annual Meeting of the International Federation of Library Associations, Montreal, Canada, August 1982), 12.

COPIE REALISEE SUR COPIEUR RANK XEROX

[9]DDC, Proposed Revision of 780 Music: Based on Dewey Decimal Classification and Relative Index, prepared under the direction of Russell Sweeney and John Clews (Albany, N.Y.: Forest Press, 1980). The groups involved in development of the schedule are listed pp. vii-xii.

[9]Erich M. von Hornbostel and Curt Sachs, "Systematik der Musikinstrumente; ein Versuch," Zeitschrift fur Ethnologie 4-5 (1914). Consulted in the translation by Anthony Baines and Klaus P. Wachsmann, "Classification of Musical Instruments," Galpin Society Journal 14 (1961): 3-29. See also DDC 20, IV, 932-933.

[10]Minutes of EPC Meeting No. 88, held April 18-19, 1985, p. 17. Considerations leading to the policy statement are given in Margaret E. Cockshutt, "Annual Report of the Decimal Classification Editorial Policy Committee, July 1, 1982-June 30, 1983," DC& 4, No. 4 (Winter 1983/84), 3

COPIE REALISEE SUR COPIEUR RANK XEROX

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION
CENTER (ERIC)

☐ This document has been reproduced as received from the person or organization originating it.

☑ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

IFLA GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

DIVISION: BIBLIOGRAPHIC CONTROL 122-CLASS-8 (WS)-E

SECTION/RT: CLASSIFICATION AND INDEXING

DEWEY DECIMAL CLASSIFICATION, EDITION 20: A CRITICAL REVIEW

by

Dr. Paule Rolland-Thomas

IR053260

"See how much the world has changed in the last ten years" as the advertising flyer issued by the publisher rightly asserts, and see how much the Dewey Decimal Classification has changed in the last one hundred and thirteen years!

From a modest forty-four-page pamphlet published in 1876, we are now presented with an elegant four-volume set divided into six major sections:

1. Volume 1: New features in Edition 20. - Introduction to DDC. - Glossary.

2. Seven numbered Tables that can be added to class numbers in the Schedules in order to provide greater specificity.

3. Tabulations of comparisons between Editions 19 and 20.
   Relocations and reductions. - Comparative Tables and Equivalence Tables for Music and British Columbia.

4. Volume 2: Schedules: Classification from 001 to 599.
   Volume 3: Schedules: Classification from 600 to 999.

5. Volume 4: Relativ Index: Alphabetical list of subjects found in the Schedules and Tables.

6. Manual: Provides advice for classifying in difficult areas, and describes policies and practices followed

COPIE REALISEE SUR COPIEUR RANK XEROX

by the Decimal Classification Division at the Library of Congress.

The layout of the whole text is well spaced out and easy to read even though smaller type fonts than in Edition 19 have been used. However, volume numbering on the covers would have been helpful for manipulating the set quickly and efficiently.

As a teacher, my approach to this review could be biased for which I make no apologies! Experienced practitioners and faculty will, undoubtedly, have ample opportunities to make their points in professional journals and conferences. Furthermore, with time, the application of DDC Edition 20 will certainly yield significant findings that I have not knowingly overlooked.

The Introduction to the Dewey Decimal Classification, as the editor states, "is written for the novice or beginning classifyer"[1] and expounds distinctly the conceptual framework of DDC, its notation, and the principle of hierarchy. In the section on notation (paragraph 4.9) the decimal point is identified as a mark that follows the third digit; a reference to the Glossary is given for further explanations. The Glossary expands as follows: "In strict usage the word "decimal" is not accurate; however, common usage is followed in this edition's explanatory material".[2] The distinction between strict and common usage appears blurred to newcomers to DDC. The point, ever since Melvil Dewey, is a separating device and is not meant to be preceded by an integer. A full explanation on what is decimal about DDC would

COPIE REALISEE SUR COPIEUR RANK XEROX

be most helpful for instructors and students alike.

There is a new typology of notes that provide "information that is not obvious in the notational hierarchy or in the headings with regard to order, structure, subordination, and other matters."[3] There are:

A. Notes that describe what is found in a class. These include: Definition and scope notes; Former headings notes; Variant names notes; General aspects notes; Class-here notes. The latter is also used to indicate where interdisciplinary and comprehensive works are classed.

B. Notes that identify topics in standing room. These include: Including notes; Contains notes; Example notes; Common name notes.

C. Notes on what is found in other classes. These include: Class-elsewhere notes; See references; See-also references.

D. Notes explaining changes in the Schedules and Tables: these include: Revision notes; Discontinued notes; Relocation notes.

There are other notes on number building, precedence and citation orders, and options. Though many of these notes are not new to Edition 20, the editor should be commended for having categorized them, thus making their understanding easier.

The glossary includes a certain number of new terms such as Standing Room, Manual, First-of-two rule, etc. The only deleted term

COPIE REALISEE SUR COPIEUR RANK XEROX

from the previous edition, Phoenix schedule, is listed as no longer used; it is replaced by Complete revision. Some definitions and explanations have been reworded and/or improved; see and see also references to other terms in the glossary have been added. All in all, the introductory material is far superior in all respects to the same in previous editions. Beginning classifiers are provided not only with better guidance but also with enhanced classification theory applied to a finely tuned classification system.

The obvious reason for issuing a new edition of a classification is new knowledge. The DDC has always been held perfectly suited for expansion due to the fact that its notation is decimal; this is true but somehow simplistic. Through numerous editions, new knowledge has been integrated in a variety of ways and "old" knowledge has been reorganized.

Between Edition 19 and 20, five issues of Additions, Notes and Decisions have been published. These pamphlets also include corrections to the Tables, Schedules, and Index, and additions to the Manual which was published separately in 1982. Also published as a separate the same year was an expanded version of Sociology 301-307. The relocation and expansion of Data processing and Computer science 004-006 and changes in related disciplines, namely Computer engineering 621.39-621.399 were also published as a separate in 1985. All these "in between editions" works have been incorporated in Edition 20, with the exception of the glossary appended to Data processing and Computer Science 004-006.

COPIE REALISEE SUR COPIEUR RANK XEROX

Lack of time and space do not allow a comprehensive and systematic review of all the changes brought about in the Tables, Schedules, Index, Manual and ancillary material of Edition 20. I have, therefore, selected quite randomly for examination "samples" of new knowledge integrated in various fashions in this edition.

Important areas of revision are listed in volume 1: these include revisions in Tables 1, 2, 3, 5 and 6. A number of schedules in all of the main classes, with the exception of Philosophy 100 and Literature 800, were revised.

For example:

Television 384.55 has been substantially revised using decimals for expansion for new topics:

384.55 Television
.551 Economic aspects
.552 Facilities and channels
.5521 Broadcasting channels
.5522 Stations
.5523 Networks

etc...

Sanitary engineering 628 has been up-dated by changes in terminology.

Edition 19		Edition 20	
628	Sanitary & municipal engineering	628	Sanitary and municipal engineering. Environmental protection engineering

Edition 19		Edition 20	
628.364	Sanitary landfills	628.364	Sewage sludge disposal Example: sanitary landfills

COPIE REALISEE SUR COPIEUR RANK XEROX

Edition 19	Edition 20
628.4 Public sanitation	628.4 Waste technology [formely also 604.6] Public toilets, street cleaning

Harbingers to new knowledge that do not always yield new numbers are indicated with the following notes:

Standing Room Notes identify topics in the number where the note is found. "Standing room numbers provide a location for topics with relatively few works written about them, but whose literature may grow in the future, at which time they may be assigned their own number".[4] My understanding of this is that growth of the literature should exclude articles from scientific and scholarly journals and technical reports.

Among the Standing Room Notes are:

Including notes that list topics that are not obviously a part of the number, such as:

616.241 Pneumonia
Including Legionaires' disease.

Legionaires' disease is listed in the Index.

176 Ethics of sex and reproduction
Including artificial insemination, celibacy, chastity, contraception, embryo transplant, homosexuality, premarital and extramarital relations, promiscuity, surrogate motherhood.

The same number in Edition 19 did not list topics alphabetically and made no mention of embryo transplant and surrogate motherhood. On the other hand, continence has been deleted from Edition 20 from the Schedules and the Index altogether. We may then presume that continence

COPIE REALISEE SUR COPIEUR RANK XEROX

is now "non-knowledge".

Contains notes "list all of the major components of the number that do not have their own subdivisions." Such as:

636.752 Sporting dogs
Contains Brittany vizsla, Weimaraner, wirehaired pointing griffon, named breeds of pointers, retrievers, setters, spaniels.

There are slight changes in wording from Edition 19 and all topics (i.e. dogs) are listed in the Index. Topics listed in a Contains note may in a future edition bear their own number.

Example notes "describe the contents of an abstract category when the specific contents may not be immediately apparent." Such as 617.05 Surgery by instrument and technique.

Examples: cryosurgery, laser surgery, microsurgery.

Laser surgery and microsurgery are new topics in Edition 20. All topics are listed in the Index.

Common name notes "are used only in biology. They list common English terms that are typical examples of the more carefully defined Latin taxonomic categories",[5] such as:

595.747 Neuroptera
Common names: ant lions, lacewings, snake flies.

Ant lions is a new topic (i.e. insect) in Edition 20. All topics are listed in the Index.

We should not overlook the fact that new terminology enhances the up-dating of "old" knowledge; for example:

COPIE REALISEE SUR COPIEUR RANK XEROX

Edition 19 629.892 Automatons

Automatically controlled, relatively self-moving mechanisms often resembling living creatures

Example: robots

Edition 20 629.892 Robots

Former heading: Automaton

Unless it is redundant, add to base number 629.892 the numbers following 00 in 004-006, e.g., use of digital microcomputers 629.892416, but use of digital computers 629.892 (not 629.8924).

Use of this number for automatons that are not computer controlled discontinued; class in 629.8.

In short, these are a few "samples" of new knowledge in Edition 20 that is not expanded with decimals.

In Edition 20, Music 780 has undergone a complete revision or more accurately a complete reorganization. For the first time in the history of DDC, a proposed revision,[6] in this case, Music, prepared under the direction of Russell Sweeney and John Clews was published by Forest Press and subsequently widely circulated for comments from users. And indeed, there were comments taken into account in devising the definitive schedule in Edition 20.

The Music schedule and its predecessor Proposed Revision of 780 Music[7] are largely drawn from the faceted British Catalogue of Music Classification[8] with two significant exceptions: the notation and the list of composers. The overall structure in Edition 20 does not provide for a distinction between scores, texts, or recordings although options for distinguishing them are put forward under 780.

COPIE REALISEE SUR COPIEUR RANK XEROX

Overall structure

780.0001–.0999	Relation of music to other subjects
780.1–.9	Standard subdivisions, regular and modified
781	General principles and musical forms
781.1	Basic principles
781.2	Elements of music
781.3	Composition
781.4	Techniques of music
781.5	Kinds of music (e.g., for specific occasions)
781.6	Traditions of music (e.g., folk, popular)
781.7	Sacred music
781.8	[General] musical forms
782–788	Voices and instruments
782–783	Voices and vocal music
782	Vocal music The voice
783	Music for single voice
784–788	Instruments and their music
784	Instruments and instrumental ensembles and their music
785	Ensembles with only one instrument per part
786–788	Specific instruments and their music
786	Keyboard, mechanical, electrophonic, percussion instruments
787	Stringed instruments
788	Wind instruments

Citation order

The citation order is:

Voices and instruments	782–788	
Musical forms	781.8	
Sacred music	781.7	
Traditions of music	781.6	
Kinds of music	781.5	
Techniques of music	781.4	
Composition	781.3	
Elements of music	781.2	
Basic principles of music	781.1	
Standard subdivisions	780.1–.9	(9)

COPIE REALISEE SUR COPIEUR RANK XEROX

Although faceting is paramount in the new 780, it is not new in DDC. Granted that the word was coined by Ranganathan, Melvil Dewey was somewhat like Molière's Bourgeois gentilhomme who was speaking prose without being aware of it, by introducing 0 as a facet indicator. Another facet indicator 1, aside from the 0, has been added in the 780 schedule to inform the user "that an element from elsewhere in the schedule is about to be introduced".[10]

An attractive new feature of the schedule involves an acoustical classification of instruments divided into five groupings: electrophones, idiophones, membranophones, chordophones, and aerophones. This categorization is claimed to be value free, but is it culturally neutral? Instruments are man-made artifacts whose function is to produce sound which is aesthetically acceptable to specific cultures or civilizations. That which is perceived as noise by one cultural group is music and/or rhythm to another.

Here is not the place to deal with the nitty-gritty of the complete revision of music; reviews from music librarians will contribute much more to our appreciation of the work than I can do here in a general review of the whole of Edition 20. The music classifier will derive great satisfaction in applying the new 780; an extensive knowledge of music is, however, a prerequisite to understanding and applying the schedule. This falls in line with Sayers: "Much of the difficulty that is found in classifying... arises from want of knowledge of the subjects we endeavour to arrange".[11]

COPIE REALISEE SUR COPIEUR RANK XEROX

Consistency is a characteristic expected of any classification; it entitles it to become a system where the harmony of parts and features to one another or to the whole is discernible. This characteristic is found wanting in some areas of Edition 20.

In History 900, the chronology for the history of Canada 971 is devided by prime ministerships followed by the inclusive dates of their term of office. In Canada, prime ministers are heads of government, not heads of state.

971.064 1957-
- .0642 Prime ministership of John G. Diefenbaker, 1957-1963
- .0643 Prime ministership of Lester B. Pearson, 1963-1968
- .0644 First prime ministership of Pierre Elliott Trudeau, 1968-1979
- .0645 Prime ministership of Joe (Charles Joseph) Clark, 1979-1980
- .0646 Second prime ministership of Pierre Elliott Trudeau, 1980-1984
  Including prime ministership of John Turner, 1984
- .0647 Prime ministership of Brian Mulroney, 1984-

As for the British Isles 941, the chronology is divided by names of monarchs, heads of state, followed by the inclusive dates of their reign. The chronology for the present sovereign is divided into decades with no corresponding political event, such as a change of government.

941.085 1945-
  Class here reign of Elizabeth II, 1952-
- .0854 1945-1949
- .0855 1950-1959
- .0856 1960-1969
- .0857 1970-1979
- .0858 1980-1989
- .0859 1990-

COPIE REALISEE SUR COPIEUR RANK XEROX

The Fifth Republic in France 944.083 is also arbitrarily divided into decades without the names of the presidents.

944.083	Period of Fifth Republic, 1958-
.0836	1958-1969
.0837	1970-1979
.0838	1980-1989
.0839	1990-

As far as the U.S.S.R. is concerned, the post Stalin era is chronologically divided into groups of prominant Soviet leaders.

947.085	1953-
.0852	Periods of Georgi Malenkov, Nikolay Aleksandrovich Bulganin, Nikita Sergeevich Khrushchev, 1953-1964
.0853	Periods of Leonid Il'ich Brezhnev and Aleksey Nikolayevich Kosygin, 1964-1982
.0854	Periods of IU. V. Andropov, K.U. Chernenko, and Mikhail Sergeevich Gorbatchev, 1982-

Literary warrant hardly justifies such a diversity in the arrangement of chronology; divisions should be based on changes in the political arenas of countries, like it was done for Canada, Mexico, and the United States.

A lack of consistency is also found in the use of Latin names and common names. In 583-584 Angiospermae (Flowering plants), the taxonomic groups are named in Latin and common names are listed in Contains notes or Common names notes. On the other hand, in 614.5 + Incidence of and public measures to prevent specific diseases and kinds of diseases, and other parts of the Medical Sciences schedule, the common name is followed by the Latin name or scientific name enclosed in parentheses; e.g., 614.524 German measles (Rubella), 614.546 Leprosy

COPIE REALISEE SUR COPIEUR RANK XEROX

(Hansen's disease). Entries in the Index, however, are given in both Latin and English for the two schedules.

> Place names and other proper names are generally given in the form specified... by AACR2. ... Diacritics have been provided only for the following languages: Amharic, Chinese, Czech, Dutch, Finnish, French, German, Greek, Italian, Japanese, Portuguese, Spanish, and Urdu.[12]

The choice of language of place names in Table 2 does not always conform to AACR2, rule 23.2A1: "Use the English form of the name of a place if there is one in general use".[13] In -45 Italian Peninsula and adjacent islands. Italy, names of well known cities are given in Italian followed by their English names enclosed in parentheses; e.g. Torino (Turin), Roma (Rome). In -436 Austria and Liechtenstein, some names of the Austrian provinces are given in German followed by their English names enclosed in parentheses, e.g. Niederösterreich Land (Lower Austria province) while others are given in English only: Styria Land, in German: Steiermark and Carinthia Land, in German: Kärnten.

The decision to supply diacritics should be commended; for the lack of diacritics or the wrong diacritics yield the wrong pronunciation and/or the wrong meaning. A missing umlaut was found in Table 2-49457 Zürich and in the first note in 511.3 Gödel. Montréal and Québec are spelled with and without the acute accent in Table 2-714 and in the Index, presumably to distinguish different jurisdictions.

Throughout the Tables and the Schedules, the division of the cycles of human life offer an interesting problem in consistency.

COPIE REALISEE SUR COPIEUR RANK XEROX

Old age is variously entered as late adulthood in Table 1-084, Table 7-05, 155.66 248.82, 305.26; as older workers in 331.31; as old persons in 392.9; as adults aged sixty five and over in 395.126. It is not clear when middle adulthood starts and ends, and when late adulthood starts. Younger persons are entitled to age brackets from birth to over twenty! Is this discrimination or consideration?

"The Relativ Index contains terms found in the headings and notes of the Schedules and Tables, synonyms, and selected terms in common use".[14]

As all terms are listed, index entries such as the following are quite common:

Robotics	629.892
engineering	629.892
Robots	629.892
engineering	629.892

Terms for diseases are entered twice or more, under the common name and under the Latin or scientific name:

Measles		Rubeola	
incidence	614.523	incidence	614.523
medicine	616.915	medicine	616.915
pediatrics	618.929 15	pediatrics	618.929 15

For the sake of checking the Index, I put myself in the shoes of a beginning classifyer seeking a number for the cataloguing of maps. Under Cataloging, the entry reads as follows:

Cataloging	
library science	025.3
museology	069.52

COPIE REALISEE SUR COPIEUR RANK XEROX

I then seek under Maps; the entry reads as follows:

Maps 912
T1-0223

areronautics 629.13254
etc.

cataloging 025.346

I am now seeking a number for the cataloguing of government publications; the entry reads as follows:

Government publications
bibliographies 011.53
cataloging 025.3434

As far as music cataloguing is concerned, the steps are a little more intricate. There are no entries under Music cataloging nor Cataloging music but there is an entry under Music libraries 026.78. I might have given up here, finding no number for music cataloguing. Intuitively, I look under Scores (Music), the entry reads as follows:

Scores (Music) 780
cataloging 025.3488

There are no entries under Music or Musical scores; this will meet my requirements as far as printed and manuscript music is concerned. The cataloguing of recordings is not addressed in the above mentioned numbers. They are to be found under Recordings (Sound) 621.389 32
Bibliographies 011.38
etc.

The same list of numbers are repeated under Sound recordings. For the sake of consistency and parallelism, I would have expected an entry under Music scores.

COPIE REALISEE SUR COPIEUR RANK XEROX

The Manual, the last part of volume 4, "is intended to serve practicing classifiers and students. It describes the policies and practices of the Decimal Classification Division of the Library of Congress. ... The Manual is arranged in the numerical order of the Tables and Schedules".[15]

The Manual not only solves difficult problems but brings forth the discussion, the pitfalls, and the rationale that lead to decisions. The beginning and experienced classifier should not overlook this valuable complement to notes in the Tables and Schedules. The mnemonic maps of the world which display key area numbers from Table 2 are enlightening. Flow charts for Table 3B Literature, More than one author, Vocal music, Geography & Travel, and History are helpful additions for making the process of classifying less intuitive and more logical.

As we are moving towards the use of DDC as a tool for online browsing and retrieval in complex subject areas, Edition 20 comes at the right time. All in all, it is a success story. But it must also look to the future; the editor has set the rules for additions, notes and decisions. To conclude, allow me to contribute my modest suggestion: 100 Philosophy is in need of a complete revision, in order to make our "world a little more orderly"!

COPIE REALISEE SUR COPIEUR RANK XEROX

REFERENCES

1. V.1, p. XXV.

2. Ibid., p. Iiii.

3. Ibid., p. XXXV.

4. Ibid., p. XXXVii

5. Ibid., p. XXXViii.

6. Proposed Revision of 780 Music based on Dewey Decimal Classification and Relative Index/ prepared under the direction of Russell Sweeney and John Clews, with assistance from Winton Matthews. Albany, N.Y.: Forest Press, 1980.

7. Ibid.

8. The British Catalogue of Music Classification/ compiled for the Council of the British National Bibliography by E.J. Coates. London : The Council, 1960.

9. V. 4, p. 927.

10. Ibid., p. 928.

11. Sayers, W.C. Berwick. A Manual of Classification for Librarians and Bibliographers. 3rd ed. rev. London : Andre Deutsch, 1962, p. 6.

12. V. 1, p. XIVii.

13. Anglo American Cataloguing Rules. - 2nd ed. 1988 revision. Prepared under the direction of the Joint Steering Committee for Revision of AACR; edited by Michael Gorman and Paul W. Winkler. Ottawa : Canadian Library Association, 1988, p. 434.

14. V. 1, p. XIVii.

15. V. 4, p. 732.

COPIE REALISEE SUR COPIEUR RANK XEROX

END

U.S. Dept. of Education

Office of Education
Research and
Improvement (OERI)

ERIC

Date Filmed

March 29, 1991